

CIMRS

COOPERATIVE INSTITUTE FOR
MARINE RESOURCES STUDIES

OPERATIONS MANUAL 2014

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Oregon State **OSU** Hatfield
UNIVERSITY MARINE SCIENCE CENTER

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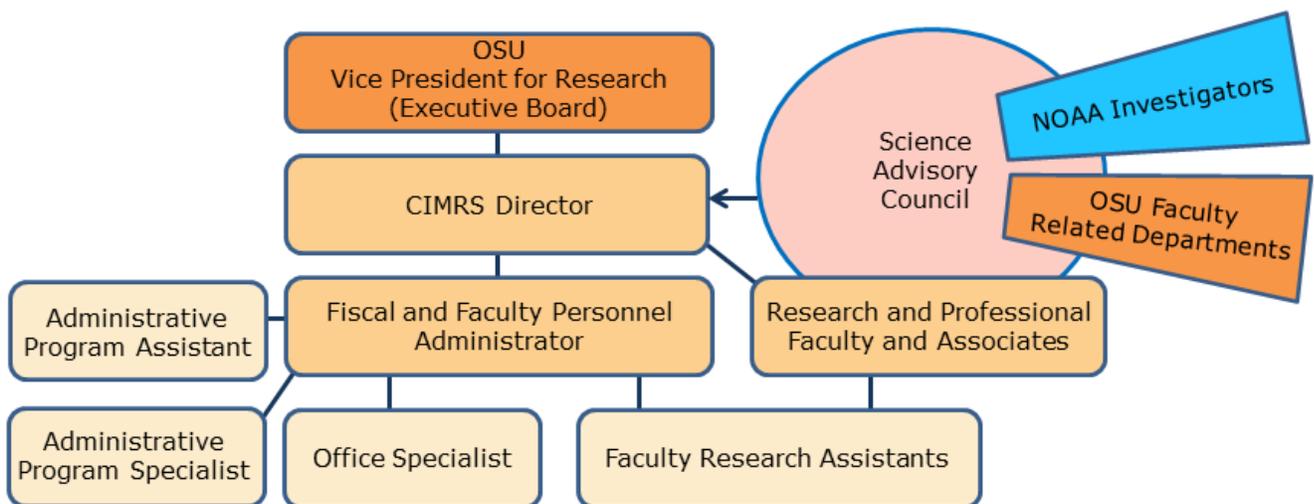
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I. INTRODUCTION

The Cooperative Institute for Marine Resources Studies (CIMRS) was established in 1982 to foster collaborative multidisciplinary research between Oregon State University and National Oceanic and Atmospheric Administration (NOAA) in fisheries science, aquaculture, oceanography, marine-resource technology and related fields. The present day CIMRS partnership brings together university researchers with scientists from NOAA's Northwest Fisheries Science Center, Alaska Fisheries Science Center, and Pacific Marine Environmental Laboratory to work on issues of mutual interest relating to the living and non-living components of the marine environment and their interrelationships. CIMRS' mission is also to improve the effectiveness of teaching in the disciplines associated with broadly based marine studies including but not limited to biological, ecological, economic, and social aspects. Based at the Hatfield Marine Science Center it seeks to provide an atmosphere which will facilitate collaborative research and the exchange of ideas among scientists associated with the cooperating institutions and visiting from other organizations to increase their collective productivity and the application of their findings.

A. Organization

CIMRS is administered through the OSU Research Office with oversight from an Executive Board made up of members from the participating organizations under the terms of a Memorandum of Understanding between OSU and NOAA National Marine Fisheries Service. A Science Advisory Council provides input on research directions, progress, and policy to the Director.



B. Business Centers

CIMRS is assisted by the Agricultural Sciences and Marine Sciences Business Center (AMBC), one of seven such regional business centers at OSU. Each of the regional business centers consolidates functions and administrative authority, absorbing personnel and functions both from the central administrative units and college/departmental levels.

C. Staff at Hatfield Marine Science Center

CIMRS is the administrative home for its staff and fosters multidisciplinary research involving faculty, staff and students throughout the wider OSU research community, especially those based at OSU's Hatfield Marine Science Center.

D. General Staff Responsibilities

General OSU administrative policies and procedures can be located at (depending on the information inquired) OSU Faculty Handbook: <http://oregonstate.edu/admin/aa/faculty-handbook-contents>. Policies specific to CIMRS are located on the For Employees section of the CIMRS website: <http://oregonstate.edu/cimrs/employees>. All CIMRS faculty and staff have access to these policies and procedures and are given an orientation to these guidelines when initially hired.

The CIMRS Administrator, in collaboration with the Director, is responsible for overseeing all CIMRS business operations, providing a variety of management services and support for the Institute and its personnel. The Director and Administrator are ultimately responsible for the financial, personnel and operations management of CIMRS. The Administrator manages and coordinates all human resource actions including performance reviews, salary increases, disciplinary actions, etc., and serves as a consultant and main point of contact for all faculty and staff needing assistance with personnel matters. The Administrator is assisted in human resource and financial actions requiring computer input to OSU's Banner system by Hatfield Marine Science Center Business Office staff.

The Administrator is responsible for managing all CIMRS grants involving the NOAA Cooperative Agreement, as well as other NOAA and non-NOAA grants from other federal agencies such as National Science Foundation and Office of Naval Research. The Administrator processes all new grants through the OSU online proposal system and manages post-award issues in consultation with OSU Office of Post Award Administration. Monthly budget sheets are accessible to each Principal Investigator (PI) from the University's Budget and Planning online financial tracking system (GRRS). For certain grants, budget information is transferred to spreadsheets and tracked in greater detail. These spreadsheets can be used as a budgeting tool for the PIs to administer their grants to ensure appropriate and timely spending with the eventual

goal of completely expending their budget(s). The Administrative Program Specialist assists the Administrator with various grant and personnel tasks as needed.

While travel and purchasing are overseen carefully by the Administrator, the CIMRS Office Specialist coordinates travel for all CIMRS faculty, staff, and invited guests. The Administrative Program Assistant acts as the Account Manager for purchases made on the CIMRS purchasing card.

II. FINANCIAL MANAGEMENT

Under the general direction of the responsible Principal Investigator(s), and in collaboration with other OSU administrative offices, and those at NOAA Laboratories and Science Centers, the Administrator oversees CIMRS' fiscal operations to ensure compliance with all federal and state regulations and auditing procedures. Assistance is provided by the Hatfield Marine Science Center Business Office and OSU's Office of Post Award Administration.

CIMRS' specific financial duties include developing and implementing new grants and contracts; establishing/maintaining effective accounting procedures for monitoring activity on all funded awards; reconciling budgets using monthly OSU Budget Activity Reports and Budget Status Reports; preparing regular budget updates for the PIs; managing sub-contracts and sub-awards; and overseeing all expenditure activities such as purchasing, petty cash, travel, outside service contracts and campus services (telephone, mailing, computing, communications issues, fax machines, email, voicemail, copying, etc.), initiating, revising, monitoring and tracking payroll.

The following sections are the financial tasks outlined in further detail. References and specifics on all these tasks can be found at:

OSU Grant, Contract and Gift Accounting Manual,
<http://oregonstate.edu/fa/manuals/gcg>;

OSU Fiscal Operations Policies and Procedures Manual,
<http://oregonstate.edu/fa/manuals/fis>; and

OSU Office of Sponsored Programs:
<http://oregonstate.edu/research/osp/index.htm>.

A. Grant and Contract Preparation Process

CIMRS proposal submission process is located at: <http://oregonstate.edu/cimrs/proposal-submission>. Funding opportunities for government agencies can be found at the Office of Sponsored

Programs website, <http://oregonstate.edu/research/osp/funding-opportunities> and through the Grants.gov website. The Administrator may help develop and compile budgets and related sections for the PI, ensuring that agency and OSU policies are followed and researching and preparing all funding agency and OSU forms. This generally involves calculating salaries, benefits, tuition, and facilities and administration (F&A) costs, according to current OSU rates. Submission/certification of proposals is processed by online software Cayuse 424. A minimum of three days is required for review of the proposal before approval by OSP.

B. Establishing and Maintaining Effective Accounting Procedures

Once a grant is funded, the Office of Post Award Administration (OPAA) inputs the budget into the University's accounting system to ensure budgets are maintained and financial records are consistent within auditing standards of the Oregon University System, State, and funding agency guidelines. The Administrator has access to the University financial systems and works closely with the Post Award specialist to monitor activity through monthly updates. OPAA is responsible for preparing the official financial reports for each grant.

C. Reconciling and Preparing Monthly Budget Updates

The Administrator reviews monthly reports from the University's Data Warehouse financial system and in some instances prepares budget updates for the PIs/Director. Each month, all grant payroll and recorded expenditures are reviewed for accuracy and adjusted as necessary. The Administrator communicates frequently with PIs to review the monthly updates and to inform them of any issues or problems that need resolution.

D. Purchasing

CIMRS maintains a department credit card on which the Administrator is the Custodian; the Director is the Budget Authority; and the Administrative Program Assistant (APA) is the Account Manager. Invoices are directed to the APA who reconciles charges against the monthly credit card bill. Online banking allows tracking of credit card debits daily if necessary. The Administrator may review the credit card purchases with the APA as a check for appropriate grant number and accounting code before input into the OSU Financial system.

Approved purchases that require a departmental purchase order <\$5,000 are prepared by the APA; purchase orders >\$5,000 are processed through the Procurement Specialist in the HMSC Business Office and the OSU Procurement and Contracts Office as appropriate, depending on amount. Petty cash up to \$50 is also available from the HMSC Business Office with PI and Administrator approval. OSU policies followed for all purchases can be found at:

<http://oregonstate.edu/fa/businessaffairs/accountspayable/purchasingcard.php>.

E. Receiving Cash, Checks or Other Awards

CIMRS has established accounts for receiving funds, either from reimbursement of research services (General Funds account) or as gifts (Gift account). These accounts are part of the official OSU accounting system; guidance for use of these funds is found in the OUS Fiscal Policy Manual, <http://www.ous.edu/cont-div/fpm/>. Activity codes relating to specific projects are used to track the funds in these accounts.

F. Payroll, Employee Leave and Cruise Policy Systems

CIMRS adheres to all payroll policies and regulations of Oregon State University, as described in the Payroll (PAY) Manual, <http://oregonstate.edu/fa/manuals/pay>. The PIs, Director or Administrator, and Business Center payroll analysts may initiate CIMRS payroll actions. Employees are not allowed to implement their own payroll changes. There are two types of payroll:

- 1) monthly payroll for salaried faculty, staff, and graduate students appointments, and
- 2) hourly payroll for temporary employees and student helpers. Sea pay falls under the second category and is reported separately and in addition to the regular monthly pay.

The HMSC Payroll Coordinator initiates payroll additions and revisions according to written directions from the Administrator. Payroll records are maintained in the OSU Banner system, while employee leave records are maintained on the EmpCenter workforce management system.

Faculty, Staff, Graduate Student Appointments

The Administrator meets with all new employees for an informal orientation and to provide a packet of reference material pertinent to CIMRS, HMSC, and OSU. New employees meet with the HMSC HR Coordinator to fill out the appropriate employment forms. In addition, the new hire meets with various other personnel at HMSC to receive keys, initiate computer access, and directory information. All international employees must make contact with an advisor in the Office of International Student and Faculty Services. OSU provides new employee online orientation at <http://oregonstate.edu/admin/hr/newempl>, as well as scheduled on-campus orientations.

Graduate student appointments are coordinated with the academic department/college of the student and may be processed by either the HMSC Business Office or the academic department.

Personnel Activity Reports

Quarterly personnel activity report (PAR) forms are initially verified and then distributed by the HMSC Business Office to the Administrator for further review and approval. All payroll files and documents are confidential and are maintained as such (note: the salaries of state employees are public information and can be accessed through various systems). Copies of the PAR forms are kept in the HMSC Business Office files. These forms are used to verify the effort for which each employee is paid on restricted funds or cost share funds. This reporting is required by OMB Circular A-21 and is subject to audit.

Monthly Staff Timesheet and Vacation/Sick Leave Records

All staff must complete monthly timesheets detailing any vacation/sick and submit the completed timesheets electronically in a timely manner (within four days after the end of each month for salaried employees; by the 16th of each month for hourly employees) using EmpCenter, OSU's workforce management/time and attendance system, at <http://mytime.oregonstate.edu/>. Family and medical leave requests must be submitted via EmpCenter and pre-approved by the supervisor and Employee Benefits Office. For instructions on submitting family and medical leave requests on EmpCenter, go to: <http://oregonstate.edu/admin/hr/faq/fmla/request>.

Compensation for time at sea is recorded on a mid-month timesheet, verified by the supervisor with a signature, and given to the HMSC Payroll Coordinator. The CIMRS Sea Pay policy is described at: <http://oregonstate.edu/cimrs/seapay>.

Hourly/Temporary Employees

Two categories of hourly/temporary employees have been established at OSU. Employees that will work < 52 hours in a 30-day period typically for limited periods are hired through agreements with outside temporary hire agencies. More permanent hourly positions with hours accumulating >52 hours/month can be accommodated through classified temporary positions or unclassified academic wage positions. In either case, the Administrator assists PIs with their hiring requests and works with Business Center HR staff to complete the hiring process.

G. Equipment Inventory and Property Activity

All CIMRS equipment is recorded on official OSU Inventory reports that are reviewed annually by the Administrative Program Assistant with assistance from PIs and Administrator in coordination with the HMSC Business Office. CIMRS follows the University, State of Oregon, and federal regulations regarding equipment purchase, use and disposal. The OSU Property Management (PRO) Manual, <http://oregonstate.edu/fa/manuals/pro>, provides the details of this system.

H. Travel Procedures

CIMRS' travel procedures/policies are found at: <http://oregonstate.edu/cimrs/employees> and follow the Oregon State University, State of Oregon, and federal travel regulations. Comprehensive procedures are available in the OSU Travel (TRA) Manual, <http://oregonstate.edu/fa/manuals/tra>.

OSU offers applications for Corporate Cards for official travel through the Business Affairs Office. Direct deposit of travel reimbursements is encouraged. Travel advances are based solely on “out-of-pocket” expenses that cannot be paid for on a credit card. CIMRS has a departmental policy of not approving reimbursement for personal auto use.

Pre-Travel

The Administrator and/or Director may approve travel for CIMRS personnel. Travel specific to a grant must be approved by the PI and Administrator. **If foreign travel is requested from grant funds, an OSU Travel Authorization Request form must be completed and approved by the OSU Post Award Specialist.** The Administrator is the authorizing official for all air transportation charges. The Director approves travel for the Administrator, and the Vice President for Research approves travel for the Director.

Travel is initiated with a CIMRS Travel Request form found on the CIMRS Travel Request webpage: <http://oregonstate.edu/cimrs/travel-request>. Once the request is approved, travelers may contact the contracted OSU travel agency to arrange their itineraries. Assistance for direct billing of hotels and rental cars is available from the CIMRS Travel Coordinator. Registration and abstract fees for conferences may be directly billed using the CIMRS credit card.

Foreign Travel

Foreign travel has certain restrictions, such as the Fly America Act, related to visas and federal requirements if funds are from federal agencies. Before coordinating any foreign travel, the Administrator and the traveler should review the foreign travel regulations found at

<http://oregonstate.edu/fa/manuals/fis/411>. **An OSU Travel Authorization Request will be prepared by the Travel Coordinator and must be approved by the OSU Post Award Specialist before any charges toward the travel are made if funds are from a grant or contract.** This requires a minimum of one week advance notice for foreign travel.

OSU Risk Management offers additional health insurance to travelers to foreign countries as well as contact information for the State Department. International travelers are directed to the Risk Management International Travel website for additional information: <http://risk.oregonstate.edu/international>.

Post-travel

Upon return, the traveler provides all receipts for travel to the CIMRS Travel Coordinator. These generally include the original hotel receipt(s) and miscellaneous expenses such as taxis and shuttles or registration fees. Meal receipts are not required as meals are reimbursed at flat rates, according to the city visited (see current per diem rates at: http://oregonstate.edu/fa/businessaffairs/travel/tres/per_diem_us). With the new OSU TRES system, the traveler is able to input reimbursement expenses electronically, and the Travel Coordinator inputs the final reimbursement amounts electronically for approval by the Administrator and scan receipts and any backup documentation to NOLIJ for archiving.

III. HUMAN RESOURCES MANAGEMENT AND SUPERVISION

CIMRS follows all OSU (<http://oregonstate.edu/dept/budgets/empreg/persindx.htm>), State (http://arcweb.sos.state.or.us/pages/rules/oars_500/oar_580/580_tofc.html) and federal regulations regarding human resources management. Guidelines are provided on OSU Human Resources website at <http://oregonstate.edu/admin/hr/jobs/>. All CIMRS personnel are hired on renewable fixed-term appointments. The Administrator serves as the CIMRS human resources manager, in collaboration with the HMSC Business Center and OSU Central Human Resources staff. Responsibilities include: managing the hiring process; overseeing the performance review process; providing counsel and information to supervisors and employees on federal, state and university human resources regulations and policies; initiating personnel actions, such as merit reviews, promotions, in-grade salary increases; and handling disciplinary processes as necessary. The Administrator serves as the supervisor for most Faculty Research Assistants; the Director serves as the supervisor for all Research Associates, Professional Faculty, and ranked Faculty.

All personnel appointments are coordinated through the Administrator's office. To ensure compliance with University and federal and state regulations, the Administrator manages and

tracks the hiring process, including new position advertisements, maintaining appropriate contact with applicants and keeping accurate records of applications.

All CIMRS personnel to be housed in federal facilities, upon hiring, meet with the Security Contact in the appropriate NOAA line office. They then proceed to comply with all current security requirements/paperwork and are provided an office setting outside the federal facility until clearance is approved.

The Administrator maintains departmental human resources files for faculty and staff, including CVs, position descriptions, promotion documents, performance evaluations, and training records, and sends appropriate documents to the OSU HR and HMSC Business Center office for filing in official personnel records. OSU offers a number of resources in all areas of Human Resources that can assist the Administrator, such as “OSU Hiring Philosophy and Principles” <http://oregonstate.edu/admin/hr/sites/default/files/jobs/hiringphilosophy.pdf>.

OSU has a policy to promote and enhance diversity. The Office of Human Resources contains web-linked tools to assist in the hiring process, <http://oregonstate.edu/admin/hr/jobs/>.

A. International Hires

Hiring of international employees is coordinated by OSU’s International Student and Faculty Services Office (ISFS). Before appointment, ISFS advisors must review the foreign national’s visa status for compliance with federal regulations. If and when the appointment is completed, CIMRS notifies the appropriate NOAA Security Contact if the employee is to be housed in a federal building. At that point, the prospective employee is directed to the appropriate website for completion of the Foreign National Visitor (FNV) form <http://www.wrc.noaa.gov/wrso/>. Before clearance is approved, the FNV is housed outside of the federal facility.

B. Safety

OSU has an extensive Safety Program, and new hires are encouraged to review the Safety (SAF) Manual to ensure compliance to OSU policy: <http://oregonstate.edu/fa/manuals/saf>. Additional information can be found at <http://oregonstate.edu/ehs/> for specific policies and training opportunities in all types of laboratory safety. Additionally, CIMRS researchers housed in federal buildings are required to comply with applicable federal safety requirements.

First Aid training sessions are regularly held at HMSC, and CIMRS personnel are encouraged to participate in the sessions. Sea safety classes are provided by CEOAS (College of Earth, Ocean, and Atmospheric Sciences) Ship Operations at least twice a year, and all personnel that perform sea duty are required to attend the training every two years.

The HMSC Safety Committee has developed Emergency Preparedness Plan Booklets, which include instructions for earthquake/tsunami events that are posted in every building. Drills occur on a regular basis as required by state law. In addition, the HMSC Tsunami Preparedness webpage, <http://hmsc.oregonstate.edu/tsunami-evacuation>, provides a Tsunami Evacuation Plan along with many other preparedness resources to make sure all staff are Tsunami Ready.

C. Performance Evaluations and Promotion

Faculty and professional staff are evaluated annually as required by OSU's Academic Affairs Office and detailed in the OSU Faculty Handbook: <http://oregonstate.edu/admin/aa/faculty-handbook-faculty-records-and-periodic-review>. Evaluations provide employees with valuable guidelines to performance, *i.e.*, to improve any deficit performance, suggest possible training, acknowledge superior performance. Evaluations are also used as documentation of performance at the time of promotion or merit increases. Input may be provided by both technical and official supervisors. Evaluation content differs for Faculty Research Assistants, Research Associate and Professors, and Professional Faculty.

Promotion guidelines for faculty can be found in the OSU Faculty Handbook: <http://oregonstate.edu/admin/aa/faculty-handbook-promotion-and-tenure-guidelines>. The Director is responsible for administering promotions for CIMRS faculty.

IV. GENERAL ADMINISTRATION SUPPORT

A. Communications

The Administrator and the Administrative Program Specialist (APS) assist in writing and editing grant proposals, websites, reports, correspondence, public relations documents, newsletters, etc. The CIMRS Annual Report is compiled and completed by the APS, Administrator and Director.

B. Systems Administration

Systems administration for all faculty and staff housed at the Hatfield Marine Science Center is handled by HMSC's Computer Support Services personnel. CIMRS pays an annual fee for all computer and printers networked to the local system for which it receives email service, network administration, troubleshooting, loading new software, backups, and maintenance of a current list of software and licenses.

C. Website Development and Maintenance

The Administrative Program Specialist is currently responsible for managing the CIMRS website. Assistance is given by OSU Central Web Services and other CIMRS staff with expertise in web development when necessary.

D. Information Systems Development and Records Management

The Administrator develops and maintains tracking systems for information on CIMRS grants and administrative management records. These systems include spreadsheets, computerized and hard copy filing systems, communications systems, etc. CIMRS follows the OSU Records Management procedures detailed at <http://archives.library.oregonstate.edu/handbook/index.html>.

V. MANAGEMENT OF INTELLECTUAL PROPERTY

CIMRS follows all established policies of OSU and the Oregon Board of Higher Education (OSHBE) for intellectual property and technology transfer. Details of the policies can be found at <http://oregonstate.edu/research/occd/policies-and-regulations>. Policies follow the federal government Title 37 Code of Federal Regulations. The Office of Commercialization and Corporate Development assists faculty and departments with patents, intellectual property, manages OSU's patent portfolio, and assists in identifying, protecting, developing and the licensing of the OSU inventions. All employees upon hire sign a Technology Transfer Agreement acknowledging the assignment to OSHBE the rights to any invention or improvement in technology, computer software, tangible research property, and trademarks (Intellectual Property) conceived, invented or reduced to practice, solely or jointly, developed using university facilities, personnel, information or other university resources.

VI. COLLABORATION WITH OTHER CAMPUS UNITS AND OUTSIDE ORGANIZATIONS

The Administrator serves as the liaison between CIMRS and other departmental administrative units and outside organizations, as well as with the national network of NOAA Cooperative Institutes (CI). The Administrator communicates regularly through email and telephone with the OSU Office of Post Award Administration, Office of Sponsored Programs, Research Contracts and NOAA Program Officers to ensure compliance with all grant/contract procedures. Additionally, communication via email or telephone is regularly used with administrators in other campus

departments in regard to funding actions, budgets, and personnel issues. These communications may also be assisted by the HMSC Business Office and university Business Center staff.

The Administrator attends NOAA Grants Office Training sessions when offered to remain current with any policy or procedural changes. The Director and Administrator also attend Annual CI meetings. These meetings allow CI Administrators and Directors to share experiences on a variety of issues concerning NOAA and University administration and research collaboration.

The Director and PIs maintain regular communication through emails, telephone, workshops/seminars with other campus units, particularly the College of Earth, Oceanic and Atmospheric Sciences and the Department of Fisheries and Wildlife, and outside organizations, such as NOAA, for the purpose of research collaboration, sharing of results or educational collaborations. The Director attends OSU Research Office “Center, Institute and Program” meetings. The Director also participates as a member of many HMSC administrative/management committees. In addition, the Director serves Ex Officio on the CIMRS Science Advisory Board, members of which are faculty representing OSU departments and members of NOAA Northwest Fisheries Science Center and Alaska Fisheries Science Center divisions with research relevancy to marine resources.

The Director and Administrator frequently coordinate group meetings with CIMRS faculty and staff to ensure effective communication between administration and research.

VIII. VOLUNTEER COMMITTEE WORK

CIMRS Director, Administrator, faculty and staff may volunteer or be asked to serve on various OSU or HMSC committees and are able to serve on the OSU Faculty Senate through an elective process.

IX. PROFESSIONAL DEVELOPMENT AND TRAINING

Administrative staff participate frequently in University training sessions in order to keep current with grant, contract, travel, payroll, purchasing, and human resource procedures and policies. Additional training is available and encouraged for career enhancement skills, such as advanced software, communications, management and supervisory training.

CIMRS research faculty and staff also participate in training for various technical skills, mainly in software use for advanced database management, mapping, and GIS systems, and web development.

X. SPECIAL PROJECTS

Special projects may be assigned to administrative staff at any time. This may involve editing reports, program outreach, committee work, or one-time event coordination.