PORTLAND VA RESEARCH FOUNDATION, INC.
Improving Health through Discovery

POLICIES AND PROCEDURES MANUAL

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1. Introduction

The Portland VA Research Foundation (PVARF) is an independent nonprofit corporation that supports research and educational activities at the Portland Veterans Affairs Medical Center (VAMC). The PVARF administrative office is located in Rooms G217 and G218 of Building 104 on the medical center grounds. The establishment of such corporations was allowed by an act of Congress to provide a flexible mechanism for the receipt and administration of funds to support academic activities. The sole purpose of non-profit research corporations housed in VA facilities is to advance the research and educational missions of the Department of Veterans Affairs through the support of activities approved by the Research and Development (R&D) or Education Committees of VA facilities. The PVARF is subject to federal oversight by the VA Secretary, the Inspector General, the Internal Revenue Service, and the U.S. Comptroller General, even though Oregon state law governs its day-to-day operations.

The mission of the PVARF administrative office is to provide helpful, efficient, and friendly support to staff at the Portland VAMC. Your feedback on our performance is appreciated. This manual was created to assist account holders in managing funds held in the PVARF. All of the forms in the appendices of this Manual may be photocopied and submitted to the PVARF administrative office when needed. Forms may also be obtained at the PVARF office. The Policy and Procedure Manual and forms are also available on the R&D network under the "forms" drive.

2. Research and Education Activities

Funds administered for research projects are managed separately from funds administered for education projects. Funds received by PVARF for support of research cannot be allocated to educational activities unless the donor has made no restrictions on the use of the funds or has provided specific permission for reallocation of the funds. Likewise, funds received for support of education can be reallocated for support of research only under the same conditions. Research and education funds will be kept in separate internal accounts.

Project Approval: All research projects must receive a formal approval by the VA Research & Development (R&D) Committee and other appropriate subcommittees prior to any funds being expended by the PVARF. Such committees and subcommittees may include; R&D Committee, Institutional Review Board for Human Subjects (IRB), Institutional Animal Care & Use Committee (IACUC), and/or Subcommittee on Research Safety. All educational projects must receive formal approval by the VA Education Committee.

Principal Investigators: PVARF uses the term Principal Investigator to designate the individual who has overall authority and responsibility for conducting a research or education project. The principal investigator (PI) for each project/activity must hold a VA appointment and also must be the same person who is named in the approval granted the project by the VAMC Research & Development Committee or Education Committee. The PI for each project/activity is responsible for hiring and managing all personnel for their activity. The PVARF will pay personnel from the appropriate research or educational account funds only upon request and approval from the appropriate PI.

3. Conflict of Interest

Each PVARF employee and board member involved in PVARF activities is subject to Federal Laws and regulations on conflicts of interest in the performance of official functions. At the beginning of their involvement with the PVARF, the above persons shall familiarize themselves with the "Standards of Ethical Conduct and Related Responsibilities of Employees" and must sign a statement verifying that they are aware of and in compliance with the federal laws and regulations applicable to federal employees with respect to conflicts of interest related to the performance of their official functions.

4. Establishing an Account

VA non-profit corporations may not receive or administer funds unless the funds are associated with and approved by the medical center's R&D or Education Committees. Therefore, in order to open an account in the PVARF, a PI must have at least one active research or education proposal that has been approved by the appropriate facility committee.

To establish an account at the PVARF, a PI must complete a *New Account Request* form (Appendix A) and submit it to the Administrative Officer (AO), Research Service. The *New Account Request* form identifies all individuals who have signature authority for requesting disbursements from the account. It also allows the PI to specify all activities that will be supported by the account. The Research Service administrative office will confirm the presence of an active, approved research or education proposal, sign the form and forward it to the PVARF.

When the donor of the funds has not made restrictions on their use, an investigator normally will have only no more than two accounts in the PVARF (one research account and one educational account). When a funding source places restrictions on the use of the funds and/or requires a financial statement documenting all disbursements at the end of a funding period, then additional accounts may be necessary.

5. Deposit of Funds in Accounts

Funds may be accepted by PVARF from such sources as private non-profit agencies engaged in the support of research and/or education, from commercial organizations involved in the development of new drugs and devices or in the support of medical research and/or education, from medical or professional organizations that make payments in lieu of honoraria or consultant fees, from personal contributions by researchers, or from groups or individuals to defray the costs of scientific meetings or other legitimate academic functions. All checks should be made payable to Portland VA Research Foundation. If a check is made payable to an individual or another organization, the payee must endorse the check as payable to PVARF. Funds donated in support of a particular activity can be accepted only if the responsible investigator holds an appointment at the Portland VA Medical Center and has an active research or educational project approved by the facility's appropriate committees.
Federal law allows funds donated to the VA Medical Center's General Post Fund for general VA research or educational purposes to be transferred to the PVARF. Other funds donated to

the general post funds for a specific project may be transferred to the PVARF only if the donor provides consent.

No checks will be accepted by PVARF without an identified account into which the checks will be deposited. All checks should be submitted directly to the PVARF administrative office. A letter acknowledging receipt of each check will be sent to the respective donor, and a copy of the letter will be maintained in the PVARF files. An example of the acknowledgment letter is contained in Appendix B.

6. Indirect Cost Policy

The term "indirect cost" denotes funds that are removed from the account to support the administrative costs of operating the corporation. The PVARF has no other mechanism than indirect costs to pay for its administrative expenses. Investigators should plan for indirect cost assessments when developing project budgets and communicate this need to funding sources.

The indirect cost rate for industry-sponsored research is 20%. The indirect cost rate for projects sponsored by scientific foundations will be the rate allowed by the organization or 20%, whichever is less. Indirect costs will not be assessed on funds from non-profit organizations that have a stated policy of not providing indirect costs. There will be no indirect cost assessment for unrestricted donations by individuals, but donations from commercial entities may be assessed.

All deposits are reviewed to determine whether they meet the criteria for assessing indirect costs. Indirect cost assessments are withdrawn from an account in the month of the deposit and are shown as a line item on the monthly account summary report.

7. Expenditures

General Information

Expenditures made through PVARF must be in support of a research or educational project approved by the appropriate Portland VAMC committees. All expenditures must be in compliance with Internal Revenue Service (IRS) guidelines for non-profit corporations. In cases where requests for payment do not have an obvious direct link to a research or educational project, a clear explanation of how the expense is related to the investigator's project must be provided, or there will be a delay in providing payment. Examples of such written justifications are:

[A purchase order for a personal computer] *"This computer will be housed in the project office and will be used by the study's research assistant to maintain a log of enrolled patients, to enter study data into a database program, and to perform statistical analyses on study data using SPSS software."*

[A check request for purchase of a box of printer cartridges] *"These are toner cartridges for the laser printer in the project office that prints the individualized questionnaire generated for each subject enrolled in the study."*

[A check request for postage expenses] *"This payment covers postage fees for 300 mailed questionnaires at $0.78 per questionnaire."*

Please contact the PVARF administrative office in advance if you have questions about the research justification of a planned purchase.

Expenses which are primarily of a personal nature cannot be paid through PVARF. Examples of such personal expenses include (but are not limited to): wedding or baby gifts, birthday parties, gifts or flowers to individuals, and contributions to other charities. Expenditures for workplace refreshments, such as coffee, water and soft drinks, will not be reimbursed.

Requests for disbursement of funds should be prepared on PVARF *Purchase Order* and *Check Request* forms. All *Purchase Order* and *Check Request* forms must be signed by an individual who has signature authority for the specific account to which the disbursement will be charged. The multiple-copy forms are pre-numbered and can be obtained at the PVARF administrative office. Upon receipt in the PVARF administrative office, a *Purchase Order* or *Check Request* will be reviewed for adequate fund balance, account restrictions and proper supporting documentation. Upon securing signatures of authorized foundation staff, the request will be processed.

Purchase Orders must be used for vendors who will bill at a later date. The numbered *Purchase Order* forms must be signed out from the PVARF administrative office and kept secured until used. *Purchase Orders* must be complete and have a description of goods ordered. The complete vendor address and phone number must be included. All items are to be ordered by the investigator. The *Purchase Order* should then immediately be sent to the PVARF administrative office. If a justification for how the order is related to the investigator's research is not included on the *Purchase Order*, an accompanying memo should provide this explicit justification.

The *Check Request* form is used to obtain reimbursement for items already purchased and paid for by an individual or when an immediate check is required. *Check Requests* must be complete and have a description of goods purchased, the vendor address, individual's home address (if personal reimbursement), social security number, and an explanation of the research purpose of the expenditure. Invoices and other supporting documents must be attached. Reimbursements require <u>original</u> <u>receipts</u> or <u>paid invoices</u> supporting the payment. All requests must be signed by the authorized account signer. It is essential that the research or educational purpose of each purchase be clearly stated in the section of the form that designates the justification for the purchase (see examples above). The justification can be explained in an accompanying memo if additional space is required. *Check Requests* that do not include a clear justification will be returned to the investigator before being processed. Personal reimbursements to individuals for items previously purchased should be requested only for small purchases. Personal reimbursements ordinarily will not be allowed for amounts greater than $150. Reimbursements will also not be allowed for expenditures if there are insufficient funds in the account.

<u>Accountability of Funds</u>

It is the responsibility of the PI to ensure that all disbursements of funds from a specific source are spent according to the guidelines established by that source or agency. Individuals may be held personally responsible if a commitment of funds violates the intent of the donor agency. Annual reports to be submitted to a specific source or agency should first be submitted to the PVARF administrative office for verification of expenditures and signature by a PVARF officer.

Account Reports

Summaries of all transactions (deposits and expenditures) for an account will be sent to the account holder on a monthly basis, in a report titled "Statement of Revenue and Expenses." The account summary includes two columns. The left column itemizes transactions that occurred in the reported month. The right column provides a summary of all transactions from January 1 to the end of the reported month. An additional report known as the "General Ledger Listing" will also be included. It contains a detailed list of all deposits and expenditures from January 1 through the end of the reported month.

8. Equipment Purchases

All capital equipment purchased with PVARF funds will be labeled as PVARF property and inventoried as to location and assignment. All capital equipment remains the property of the PVARF. The PVARF Board of Directors must approve transfer or sale of any and all capital equipment. Priority for transfer or sale is as follows: Principal investigators who purchased the equipment, other PVARF investigators, other requestors.

Transfer of equipment may only be made to another not-for-profit institution. Correspondence to the receiving institution as well as their acknowledgement and acceptance must be retained for documentation. The party requesting the transfer of equipment (usually a PI) is responsible for the shipping of the equipment. The PVARF President must approve the sale of any equipment. Proceeds from any sales will be deposited to the PVARF corporate operating fund.

The PVARF may donate any equipment to the VA, which will then maintain and inventory the equipment. Correspondence regarding the donation as well as the VA's acknowledgement and acceptance must be retained for documentation.

Equipment includes items that will be used in an ongoing basis in a laboratory or office, such as machines, computer hardware, and some types of computer software. It does not include consumable supplies. For example, a typewriter would be classified as equipment, but paper and ribbons used in the typewriter would not. All equipment purchases should be made through checks issued to suppliers (rather than personal reimbursements). *Purchase Orders* (rather than *Check Requests*) must be used for equipment valued in excess of $500. No prior authorization is needed for equipment that is obviously linked to an investigator's research program (e.g., a specialized laboratory instrument). If the relationship of the equipment to a research or education project is not readily apparent, the investigator should request prior approval from the PVARF administrative office.
The PVARF administrative office will maintain an inventory list for equipment purchases

made from each account. For each equipment purchase greater than $5,000, and for all purchases of computer equipment valued at more than $250, an identifying number will be assigned to the item. Investigators will be required to affix a label with the identifying number to each equipment item. An inventory list will be maintained that records identifying features and serial numbers of each item for each account. A physical inventory of the items on each list will be made once per year. Computer equipment will be kept on the inventory list for a total of four years. Other equipment will be kept on the inventory list for a total of seven years. At the end of these periods, the equipment will be considered obsolete and not maintained on the PVARF inventory list (although it still remains property of the PVARF).

Equipment Requirements:

Use *Purchase Order* rather than *Check Request*	> $500
Personal Reimbursement Acceptable	< $150
Equipment on Seven (7) Year Inventory List	> $5,000
Computer Equipment on Four (4) Year Inventory List	> $250

9. Travel Expenses and Travel Advances

PVARF funds may be used to support domestic or foreign travel expenses to bona fide scientific meetings or for other activities that are directly related to conducting research or educational projects.

No prior authorization is needed from PVARF for travel that is obviously linked to an investigator's research or educational program (e.g., a national meeting or scientific conference). If the link is not readily apparent, the traveler will need to obtain approval prior to the trip by submitting a *Travel Authorization/ Reimbursement* form (Appendix C). This form should be accompanied by documentation that provides dates, location and purpose of trip. Obtaining prior approval will help to ensure that the traveler will be able to receive reimbursement for the costs of the trip. All travel that is outside of the United States requires prior approval from the PVARF.

All travel by VA employees paid for by the PVARF must be pre-approved in accordance with the appropriate VAMC policies. This approval allows VA salaried employee to travel on authorized absence as opposed to personal time and affects the mechanism of reimbursement for that travel. The Research Service administrative office will assist investigators with the paperwork required to obtain authorized absence.

If the travel relates to your official VA duties, and you are travelling on authorized absence, you may use the government rate for airline tickets. Reserve your ticket through the VA travel agent and submit a PVARF *Check Request* for the cost of the ticket. The *Check Request* must be made payable to the Portland VA Medical Center rather than to the traveler or a travel agency. Upon receipt of a *Check Request*, the PVARF will send a check directly to the VA, which will in turn purchase the reserved ticket. The Research Service administrative office

will complete a VA Travel Request form so that the ticket may be purchased. Please provide the Research Service administrative office with your address, social security number and documentation of the travel.

Although travel is a necessary part of research and education activities, it is also one of the areas closely scrutinized by auditors and oversight agencies.

Advance Payments for Travel

The PVARF will provide advance payments for business travel, if necessary, to pay lodging, conference registration and per diem meal expenses. Advance payments for lodging and conference registration will only be paid if requested with a *Check Request* form and a *Travel Authorization/Reimbursement* form with documentation. Appropriate documentation from the hotel will show the name of the traveler, the reservation dates, and room rate. Appropriate documentation for conference registration will show the name of the traveler, conference date and registration cost. Per diem rates for meals are set at $60 per day. Per diems rates are based on the rates of $10 for breakfast, $15 for lunch and $35 for dinner. Days of traveling to and from Portland will be prorated for the time away. Any advance payment request must be submitted using the PVARF *Travel Authorization/Reimbursement* form and *Check Request* form at least ten (10) working days prior to departure. The *Check Request* must include the traveler's home address and social security number. If the traveler needs advance payment for airfare, they must purchase government rate tickets through the VA travel agency.

Upon return, actual expenses for lodging and/or other reimbursable expenses must be submitted using a *Travel Authorization/Reimbursement* form, a *Check Request* form and appropriate supporting documentation. If the actual expenses are more than the prior advance, additional costs will be reimbursed if appropriate. If the actual lodging expenses are less than the prior advance, the traveler will be asked to pay back the excess amount. If the excess amount has not been repaid by January 15th of the following year, the excess amount becomes taxable income to the traveler, and notification will be forwarded to the IRS. After an advance payment for either per diem meals or government rate tickets has been made, no further payments will be made for these items.

Reimbursement

All travel expenses, except meals and ground transportation, that are appropriately documented (original receipts, etc.) will be reimbursed in full, unless there are insufficient funds in the account to cover the reimbursement. In that case, the reimbursement will be made up to the amount of available funds. The PVARF will reimburse for meals during the trip at the per diem rate of $60 per day regardless of the travel destination. The per diem rate is based on $10 for breakfast, $15 for lunch and $35 for dinner. Days of traveling to and from Portland will be prorated for the time away. Reimbursement for hotel rooms cannot exceed $300 per night. Reimbursement for ground transportation cannot exceed $25 per each leg of trip, i.e. airport to hotel, taxi from home to airport. If ground transportation exceeds $25 per leg of trip, an original receipt is required.

If travel costs are to be divided among the PVARF and another organization (such as the VAMC or OHSU), a copy of the other organization's travel report and a letter outlining

payment arrangements must be included. All requests for reimbursement must be submitted on a *Travel Authorization/ Reimbursement* form and a *Check Request* form and include appropriate documentation. The traveler should be sure to fill in every space on the *Travel Authorization/Reimbursement* form and the *Check Request* form before submitting them.

Reimbursable travel expenses DO NOT include expenses incurred for travel costs of spouse, dependents, or anyone other than the traveler. Nor do they include social or sightseeing costs, liquor, hotel mini-bar charges, flight insurance, movies, laundry, hair care, shoe shines, or other personal grooming.

The acceptable travel expenses and documentation required are:

Personal car mileage	Reimbursed at $0.32 per mile.
Airline travel	Original airline ticket receipt is required. First class travel is not permitted.
Bus, rail	Actual expense, receipts required if over $25 per leg of trip.
Taxi, bridge or ferry	Actual expense, receipts required if over $25 per leg of trip.
Car rental	Actual expense, receipts required. Include a justification of why car rental was used instead of public transportation.
Parking	Actual expense, receipts required if over $25 per leg of trip.
Registration	Actual expense, receipts or copy of registration form required.
Hotel	Actual expense (not to exceed $300 per night), receipts required.
Meals	Per diem only of $60 per day, based on $10 for breakfast, $15 for lunch and $35 for dinner. Travel days to and from Portland will be prorated.
Phone calls/Fax	Actual expense, receipts required.

Instructions for Completing the *Travel Authorization/Reimbursement* Form

The *Travel Authorization/Reimbursement* form must be completed before the request will be processed. Incomplete forms will be returned to the traveler for completion, thereby delaying reimbursement. The itinerary of the trip must be clearly indicated. On separate lines, indicate the date and time of each departure and arrival and the primary mode of transportation (such as airline or train). Individual expenses should then be entered for all items of expenditure on each day of the trip. Usually, there will be at least one line for each day of the trip. In the section "Purpose of Meeting", indicate the actual dates of the meetings or conferences attended and the relationship to the research project being supported by the PVARF account. The per diem rate of $60 per day should be included on the form. Travel days to and from Portland will be prorated. Appendix D is an example of a correctly completed *Travel Authorization/Reimbursement* form.

10. PVARF Travel Stipend for Funded VA Investigators

The PVARF will provide each funded "VA investigator" with support to attend one scientific

meeting per calendar year where an abstract submitted by the investigator has been accepted for presentation (talk or poster). A "VA investigator" is defined as being eligible to receive VA research funds from Medical Research, HSR&D, RR&D or Cooperative Studies. The following conditions must be met:

1. The investigator is principal investigator (PI) on a peer reviewed grant from the VA or NIH that is active during the calendar year in question. For VA Cooperative studies, PI is the study chair.
2. The investigator has an account at the PVARF.
3. At no time during the calendar year in question has the investigator submitted a grant from an institution other than the PVARF unless prohibited by the granting agency (examples of funding sources not allowing use of the PVARF include VA, NIH, and the national branch of the American Cancer Society).
4. At no time during the calendar year in question has the investigator deposited research funds from industrial sources in any institution other than the PVARF.

All expenses related to the meeting will be covered up to a maximum of $1500. These include abstract submission fee, registration, airfare, hotel, meals, and other expenses related to travel as described in the section above. Cash advances for travel will not be provided. Prior to committing personal resources, the investigator should forward a copy of the notification that the abstract has been accepted to the AO, Research Service and confirm that the investigator is eligible to have the trip in question reimbursed under this policy.

A single request for reimbursement utilizing the PVARF *Travel Authorization/ Reimbursement* form should be forwarded to the Research Service administrative office after the trip is completed. All guidelines for reimbursement listed in the section above must be followed.

This program for support of VA investigators will be reviewed each year by the PVARF Board of Directors and extended only if the Board concludes that sufficient reserve funds are available to continue it. No commitments can be made that this current program will be continued in future years.

11. Visiting Scientist Program

PVARF will allow a group of at least three (3) VA investigators to invite a scientist to visit the Portland VA Medical Center for the purpose of delivering a seminar and meeting with VA scientists individually to discuss research. Ideal uses of this program will be to promote collaborations or solicit input on pending grant applications. The target audience for the seminar would be the entire Research Service. The sponsoring PIs should advise the speaker that a presentation on the level of a *Scientific American* article would be ideal, rather than a talk targeted at a group of experts in a highly focused area. An individual PI may host only one (1) visiting scientist per academic year (September-June).

Funds will be provided by PVARF for the following expenses:

1. Up to $500 honorarium
2. Hotel for 1-2 nights
3. Dinner with the visitor and up to 4 VA scientists
4. Round trip air fare (coach class)
5. Incidental expenses (taxi, airport parking)

Prior approval from the ACOS/R&D is required. To utilize this program three (3) funded PIs should jointly sign a memo listing the name of the visiting scientist and requesting that he or she be approved for the program. This should be sent to the ACOS/R&D along with a copy of the individual's curriculum vitae.

If the request is approved, the group of investigators is responsible for extending the invitation and setting up the itinerary. A copy of the final itinerary should be sent to the ACOS/R&D. The Research Service office will reserve a room, prepare the announcement and provide lunch for the seminar.

12. Expenses for Recruitments and Relocations

PVARF funds may be used to support expenses associated with the recruitment of new investigators. Reimbursement may be requested for expenses incurred by an applicant and spouse for one interview trip, if the applicant is being recruited for a position that will enhance the research program of the Portland VAMC. Reimbursement for the applicant's spouse is acceptable since it provides an opportunity to survey the housing market and other local facilities. The payment of spousal expenses applies to only one interview trip. A maximum of five days of expenses will be reimbursed. Expenses will include coach air travel, meals, lodging, tips, telephone and car rentals. All expenses must be properly documented, and original receipts are required. The *Travel Authorization/Reimbursement* form and *Check Request* form should be submitted for each traveler when requesting recruitment payments. Include the traveler's home address and social security number.

There are two types of payments that can be made to employees for actual moving expenses. Both types are reportable to the IRS. These payments can be made only to PVARF employees, so if moving expenses are planned as part of a recruitment package, necessary steps to process the individual as a PVARF employee must be undertaken before any payments are made.

The first type of moving expense payment is a recruitment bonus. This payment is treated as ordinary income by the IRS, with FICA and income tax withholding made. No receipts or other documentation are required.

The second type of moving expense payment is reimbursement for actual expenses. Payments made in this category will be reported to the IRS as income, but no FICA or income tax withholding will be made. All payments must be justified by including original receipts for expenses directly related to moving household goods and personal effects to the Portland area and traveling from the previous residence to Portland (including lodging during the trip). The receipts will be returned to the employee after the payment is made, so that the individual can use them for income tax reporting requirements. The following expenses are not permissible for this category or reimbursement: meals during the move, pre-move trips, temporary living

expenses, home sale or purchase expenses, security deposits, real estate taxes, etc. For a complete list of nondeductible expenses, see IRS publication 521, "Moving Expenses."

If equipment or supplies have been donated by another institution to aid an investigator in setting up a new research or education program at the Portland VAMC, then shipping these goods to the VAMC may be arranged using a PVARF *Purchase Order* or *Check Request*.

13. Expenditures for Training of Employees and Investigators

Tuition payments or registration fees may be paid for courses that directly relate to the activities of an approved research or education project. Examples include courses on statistical analysis of research data or on programming computer databases. If the course is held at a distant site, the tuition was personally paid, and there were travel expenses, submit the reimbursement request using the travel reimbursement procedures described in Section 9 above. For tuition paid directly to the institution, submit the request using a *Check Request* form. As supporting documentation, include the original tuition statement and a written description of the relationship of the course to the approved research or education project.

This policy does not apply to general educational courses, such as coursework for attaining college degrees. Such expenses are the responsibility of the individual employee and are not reimbursable.

14. Contractual Arrangements with Independent Contractors

At times, it may be necessary and prudent to utilize the services of an independent contractor. Independent contractors often provide skills, knowledge and professional expertise that are not readily available in the workplace. As a result, PVARF recognizes the need to enter into contracts and has established the following procedures that must be followed prior to entering into a contractual arrangement.

The IRS has specific guidelines regarding who may be considered an independent contractor. In order to determine whether a contractual arrangement falls within these guidelines, it is necessary for PVARF to receive documents (the written contract and contractor selection statement) at least five (5) working days prior to the commencement of the contract.

If the independent contractor is a non-resident alien, payments may be subject to federal income withholding at 30%. IRS Form 8223 must be completed in order to exempt a non-resident alien from withholding. The tax exemption is dependent upon tax treaties and, in some instances, the exemption may not be allowed and the 30% withholding will be required.

Please follow these steps:

1. Submit signed contract documents to PVARF five working days prior to commencement of the contract.
2. PVARF will log, number and authorize the contract. A copy of the approved contract will be returned to the investigator.
3. Upon completion of the contract, submit a *Check Request* form for payment. The *Check*

Request form should refer to the assigned contract number and should have an original invoice from the independent contractor attached.

If documents are not received in advance for PVARF review and authorization, payment may be refused.

Criteria for determining whether an individual or organization is qualified to function as an independent contractor are summarized on the *Independent Contractor Selection* form (Appendix E).

Other characteristics of independent contractors include:

1. A sole proprietorship, a partnership, or a corporation whose services are available to the public and from which a profit may be derived or a loss suffered.
2. Is free to select the working conditions, methods and techniques to be followed in performing the work.
3. Is responsible to the engaging organization only for meeting the specifications stipulated in the agreement.
4. Has the right to employ assistants.
5. Has a normal business practice including an operational office and utilized separate telephone services, business cards or commercial advertising as is customary in operating similar business.
6. Has two or more effective contracts.
7. Is recognized by the State of Oregon as an employer.
8. Possesses a business license.

15. Payments to Consultants

Consultants are individuals who provide technical expertise needed for completing a research project or education program. While employees provide ongoing work on a project, consultants normally provide services on an interim or short-term basis. Criteria useful in determining whether to use a consultant rather than an employee to meet project needs include:

1. If the specialized skill, knowledge and resources to be provided by the consultant are not available within the Portland VAMC.
2. If the work cannot be done in a reasonable time with the investigator's existing work force.
3. If an independent and impartial evaluation of a situation is required by a consultant with recognized professional expertise and stature in a field.
4. If it will be less expensive to perform the work with a consultant rather than with an employee.

The qualifications of an individual to serve as a consultant can be established by possession of an advanced scientific degree or documentation of prior work. This information needs to be documented via a curriculum vitae or resume.

Requests for payments to consultants should be submitted on a *Check Request* form. Include

the consultant's curriculum vitae or resume with the request. Payments to a consultant are limited to a maximum of $3,000 per year. The payments are subject to IRS rules for reporting non-wage income.

16. Reimbursement for Business Meal/Entertainment Expenses

The PVARF, as an independent non-profit research corporation, must be compliant with tax law and is constrained in the types of entertainment expenses that can be reimbursed. The following situations are acceptable for business meal reimbursements:

1. Meals with applicants for advertised scientific positions at the Portland VAMC.
2. Meals with out-of-town visiting scientists to discuss research or education plans.
3. Refreshments for scientific training conferences (include conference program with the reimbursement request).
4. Refreshments for scheduled committee meetings dealing with research or education policy.

Requests for payments or reimbursements for business meal expenses must have the following documentation:

1. Name and title of person(s) who attended
2. Purpose of meeting
3. Nature of discussions held at meeting
4. Date and duration of meeting
5. Place of meeting
6. Original receipts for all expenses for which reimbursement is requested

This documentation should be provided by filling out the PVARF *Business Meal Expense* form (Appendix F) and submitting the form with a *Check Request* form. The total cost of the meal cannot exceed $40 per person.

A spouse, dependant, or companion's portion of the meal will not be reimbursed, nor will charges for any type of alcoholic beverages.

Reimbursements may be made for meals provided to employees only when they are asked to work extra hours outside of their normal tour of duty, such as working in the evening to finish an urgent project related to the approved research.

Team-Building Functions

The PVARF recognizes the importance of networking and interaction with colleagues for the success of research and educational programs. Individual Principal Investigators may sponsor not more than four (4) specialty events or functions per year. To qualify, these functions must be open to all individuals involved in the approved project. Additionally, the expenses related to these functions must meet the test of reasonableness (not extravagant or excessive). Requests for reimbursement must be use the *Business Meal Expense* form and *Check Request* form. Supporting documentation must include itemized receipts that list the items purchased.

Prior authorization from the PVARF administrative office is recommended for team building functions in excess of $500 per event to avoid problems with reimbursement. In no event can the total cost exceed $20 per person attending.

17. Expenses for Conferences Hosted by a PVARF Account Holder

Tuition and fee payments made by attendees may be deposited in PVARF accounts only when the following conditions are met:

1. The Portland VAMC is prominently identified as sponsor or co-sponsor of the conference.
2. The conference content includes either:
   a. An education program previously approved by the VAMC Education Committee; or
   b. Presentations of research findings and/or information about the application of research results to clinical practice, when the research results come from a project previously approved the VAMC R&D Committee.

Expenses for the conference may be reimbursed from the research or education account if appropriate original receipts or invoices are provided, along with an explanation of the relationship of each expense to the conference. Acceptable expenses include honorariums (not to exceed $750), rental of conference space, refreshments, and travel expenses. Requests for payment of expenses should be submitted on a *Check Request* form.

18. Professional Licenses and Memberships

National VA policy prohibits use of PVARF funds to pay for professional licenses or fees for VA employees. License fees for employees who work exclusively for PVARF may be paid if such licensure is directly related to the activities of the approved project. Payments may be made for registration fees of continuing education or professional organization activities as long as the attendance is for a purpose directly related to the approved project. Funds may also be spent for publications that relate to the approved project. Professional membership fees may be paid in a situation in which an employee of the Portland VAMC or the PVARF is required to join the organization to serve as the official representative of the VAMC or the PVARF to that organization.

Membership fees may be paid in the special situation in which the membership provides a free subscription to a journal that is directly related in its content to the project being supported by the PVARF account. In this situation, provide information about the journal on the *Professional Membership Payment Request* form (Appendix G).

19. Expenses for Off-Site Offices and Laboratories

It is expected that project activities supported by PVARF accounts will be housed on the Portland VAMC grounds and that the project will not require expenses such as remodeling, construction, utilities, electricity, water, power, telephones, or leasing of space. PVARF funds may not be used to support expenses of home offices.

There may be special situations in which it is necessary to conduct research or education project activities off-campus. In such cases, prior approval must be obtained for any expenditures requested to support off-site activities. The first step in seeking prior approval for off-site expenses is to submit a written request to PVARF that describes the specific project and which specific project activities will be conducted off-site. The request should include a detailed budget for the off-site expenses and a justification as to why the activities cannot be housed on the Portland VAMC grounds (i.e., the VAMC was unable to provide space for the activity because…).

Utility expenses for on-site offices and laboratories may be paid with PVARF funds when there are excessive needs related to a specific project, such as contract telefax services used for data collection.

20. Donations to Other Organizations

PVARF funds may not be used for charitable donations to other organizations.

21. Oregon Health & Sciences University Tandem Accounts

Some research programs may require periodic expenditures through Oregon Health & Sciences University (OHSU). To accommodate these needs, OHSU permits creation of a tandem account against which research expenditures are made. The tandem account requires a formal agreement in which PVARF agrees to reimburse OHSU for all tandem account expenditures.

The purpose of a tandem account is to facilitate expenditures that otherwise cannot be made through the PVARF. At the present time, only two categories of expenditure are permitted for OHSU tandem accounts: 1) wages and fringe benefit costs for research personnel who are OHSU employees; and 2) purchases made at the OHSU Research Store. Any other expenditures should be made through existing PVARF methods rather than through the tandem account.

Investigators who desire to set up an OHSU tandem account should complete the PVARF *Tandem Account Agreement* form, which is available at the PVARF administrative office. Once this form has been submitted to the PVARF administrative office, a formal request for the account will be submitted to OHSU.

If an investigator plans to use the tandem account for employee expenses, a written memo should be submitted to the PVARF administrative office describing the name of the employee, the starting and ending dates for the salary charges, and the estimated wage and fringe benefit costs for that employee. This information will be used to obligate the necessary funds from the investigator's PVARF account to cover the employee costs.

OHSU submits an invoice to PVARF on a monthly basis for charges to each tandem account. The invoiced amount will be removed from the investigator's PVARF account after receipt of each invoice, and a check will be issued to OHSU for that amount. A copy of the OHSU

account charges will be forwarded to the PI each month. If expenditures are charged to the account for purposes other than research employee expenses or OHSU laboratory store purchases, the investigator will be asked to make direct payments from other sources to cover these expenditures. If the investigator does not reimburse OHSU for the non-permitted expenditures within three months, the tandem account will be turned over to the investigator's OHSU department chair, and the account will be closed. Disputed charges paid by PVARF to OHSU for tandem accounts are to be handled by the investigator to resolve the issue with OHSU.

22. Reimbursement of VAMC Costs

Investigators who incur patient care costs specifically for a research project must reimburse the medical center for items such as laboratory, imaging, ambulatory care, inpatient care, medical service procedures, and pharmacy. The AO for Research Service assesses clinical costs from the Administrative Review that is required from all investigators who submit research protocols that involve human subjects and could potentially use VA clinical resources. Investigators must declare their effort and resource utilization for each protocol, and these costs are assessed monthly from the investigator's account.

23. Payments to Research Subjects

Investigators requesting payment to a subject for their participation in research activities must submit the name, mailing address and social security number for each subject. If a research subject receives in total $600 or more in a calendar year, the PVARF must submit information on the payments to the IRS.

Payments to research subjects include honoraria for participating in studies and direct payments for expenses of study participation, such as travel reimbursements. A request for payment to research subjects is submitted on a *Check Request* form.

Documentation is required prior to payment of research subjects. Such documentation may include copies of newspaper advertisements or fliers announcing the study. Documentation of the research project approval by the R&D Committee and the Institutional Review Board (IRB) for Human Subjects is also required before issuing payment to a research subject. Description and amount of payments to subjects are submitted to the IRB as part of the initial application process.

24. Petty Cash Funds

Petty cash funds may be established only when a compelling need has been established by the investigator. A request for a petty cash fund should be submitted via a *Check Request* form accompanied by a written memorandum to the PVARF administrator. The memorandum should include an explicit description of how the funds will be used and why payments cannot be made through issuance of checks. If the request is approved, petty cash funds may be used only for the purpose described in the memorandum of request. No more than $100 may be kept in petty cash funds. If additional funds are required following an initial approved request (i.e., to replenish the petty cash fund), the investigator must submit a new *Check Request* form

along with a complete report of the use of the existing funds and original disbursement receipts. Each report must include:

1. PVARF Account Number and title of research project.
2. Name of each individual who received cash.
3. Original signature of each individual.
4. Date cash was received.
5. Amount of cash received.
6. Purpose of payment.

Petty cash funds will be issued via a check made payable to the investigator, who will have sole responsibility for administration and security of the funds. All cash is to be stored in a locked box or otherwise secure location.

By January 31 of the following year, a complete report on the status of the petty cash funds must be submitted to the PVARF administrative office. The report must include a description of how all funds were spent and the amount of remaining unspent funds. If this report is not submitted or is incomplete, the petty cash funds will be reported to the IRS as personal income to the investigator.

25. Delinquent Accounts

Investigators are responsible for ensuring that expenditure commitments do not exceed the available funds in their account. For research or education programs with employees, account funds will be obligated to cover anticipated payroll expenses for the next six months. These obligated funds will not be made available for other expenditures. If the total account balance falls to $2000 or less, the investigator will be contacted immediately to make arrangements to add funds to the account or to make other arrangements for the payment of employees. For all accounts, any *Check Requests* or *Purchase Orders* that are submitted for payment from an account that does not have sufficient funds to cover the requested payment will be returned to the principal investigator without payment.

26. Disposition of Accounts Upon Retirement or Resignation from the Portland VAMC

Accounts in the PVARF are established for the express purpose of supporting research or education programs approved by the designated medical center committees. When an investigator retires or resigns, it is expected that responsibility for the account will be transferred to another qualified investigator.

If the original investigator continues to conduct the project and/or collaborate with investigators still at the Portland VAMC, the original investigator may retain authority for the account for one year after leaving the Portland VAMC. At the end of that one-year period, responsibility for the account must be transferred to another investigator. If this is not done, the funds will be transferred into the PVARF corporate administrative account.

If the project is transferred to another institution, the PVARF may transfer the funds to another

qualified non-profit organization if the following conditions are met:

1. The investigator explains in writing how the project will be carried out at the new institution.
2. The investigator provides written documentation that the new institution has approved the project and accepted responsibility for its conduct.
3. The investigator certifies that the receiving organization is a qualified non-profit institute whose mission is to conduct research or education activities.

27. Policies for Employees

Recruitment and Hiring

Principal investigators with approved projects may set up accounts at the PVARF and hire employees to support these projects. Hiring employees must be coordinated between the PVARF and the Research Service administrative offices. If an investigator fails to notify the PVARF and Research administrative offices of a new hire, the individual will not be considered a PVARF employee and will not be paid for hours worked. Employees can be paid only for hours worked after their official start date.

Records must be kept of the procedures followed for recruiting and selecting the individual hired for the job. This process must adhere to the following guidelines:

1. Prepare a description of the duties and specify the qualifications for the position. See Appendix H for information to be included in the job description.
2. Determine the salary level you plan to pay for this position. Guidelines for determining salary levels are included in Appendix I. These guidelines will assist you in meeting community standards. However, you must evaluate your current staff wages, skills, and job descriptions for internal consistency.
3. Factor in the benefit costs of the position. A full time employee hired through the PVARF can have a benefit cost of up to 23%. See Appendix J for a breakdown of benefit costs. The benefit costs will vary based upon the length of employment, the number of hours worked, and the choices that the employee makes for health and retirement benefits.
4. Advertise the position in some manner, such as a newspaper, newsletter, or electronic bulletin board to recruit qualified candidates. Positions cannot be "given" to someone without an open and competitive process. See Appendix K for guidelines in preparing a job advertisement.
5. Schedule interviews with prospective candidates. Conduct the interviews (see Appendix L for guidelines in interviewing techniques). Rank and retain the results of interviews and the reason for selection. Retain the resumes or CVs, the advertisement, and your notes from the interviews for two years.
6. Complete the PVARF *Personnel Request* packet (available at the PVARF administrative office) and submit all of this information to the PVARF administrative office for initial processing at least one week prior to the employee's start date.
7. The AO for Research Service will have final review and signature authority to assure that the qualifications and salary are in line with VA and community standards. The PVARF is required to comply with Oregon State laws on minimum wage, which currently is $6.50 per hour

8. Each new employee and PI will receive a letter from the Executive Director of the PVARF that outlines the terms of their employment (Appendix M).
9. The employee cannot begin work before their paperwork has been cleared by the AO for Research Service.

Permanent and Temporary Employees

At the time of initial appointment, the investigator will designate on the *Personnel Request* form whether the employee is a temporary or permanent employee. A temporary employee is defined as one who is expected to work 90 days or less for the total duration of employment. Permanent employees are considered those who are expected to work greater than 90 days. After hiring, a temporary employee can be converted to permanent status by notification of the PVARF administrative office. At the time of such change, the employee will become eligible for health insurance coverage if the individual works 30 hours per week or more. No employee can remain on a temporary status for more than six months.

Exempt Employees

Unless they are designated as being in the exempt category, all PVARF employees are eligible for overtime pay (1.5 times the hourly rate) for all work performed in excess of 40 hours per week. However, some PVARF employees are designated as being exempt from overtime payments. Please contact the AO, Research Services for each new hire if you need assistance in classifying a position as hourly or salaried.

According to Oregon state law, in order to be considered an exempt (salaried) employee, each employee's duties must be defined as to the degree of broad decision making authority (for at least 50% of their work week), ability to function independently for the majority of their work week, and advanced knowledge in a field of science or learning. The position description must include appropriate information about the individual's duties, so that provisions of the Fair Labor Standards Act, which governs the exempt versus non-exempt employee status, can be applied.

An exempt employee's position description must include the following:

1. Their primary duty consists of work requiring advanced knowledge and which is distinguished from performance of routine mental, manual or physical processes.
2. The employee must perform work which requires the consistent exercise of discretion and judgment. It does not include skill exercised in the application of prescribed procedures.
3. The employee must customarily and regularly be called upon to make decisions of importance. They must have the authority to make independent choices free from immediate direction or supervision.

If employees require close supervision and does not function independently, they are considered hourly employees. Also, employees who work only occasionally or who have no set work schedule (i.e., they may work only 3 hours on a project one week and 10 hours on a project in another week) are always hourly employees.
If an employee has been determined to be exempt, they must be paid on a salaried basis, which means that if they work for any portion of a week, they must be paid for the entire week. The only time that the salary can be prorated is when the employee misses a full day of work. If

the employee misses a partial day of work, they must be compensated for the full day even if they have exhausted their available annual leave and/or sick hours. Please call the PVARF Executive Director for the details on how to handle any specific situation.

Timesheets

Timesheets for all employees must be turned into the PVARF administrative office for every employee no later than noon on Tuesday, following each two-week pay period. The *Timesheet* form (Appendix N) is available from the PVARF and Research Service administrative offices. It must be completed in full and signed by the employee's supervisor. Payday is ten (10) days after the end of the pay period. Paychecks that are not electronically deposited will be mailed to the employee's home. Verifications of electronically deposited paychecks are delivered through departmental mail. The PVARF and VA employee pay periods do coincide.
The timesheet serves a dual purpose, in that it tracks time worked for payroll purposes and also tracks actual time on the premises for workers' compensation purposes. Exempt employees can work above or below 40 hours per week and are paid for a 40 hour work week. Hourly employees receive overtime for hours worked in excess of 40 hours per week. Appendix O contains the essential items that need to be on every timesheet. Examples of correctly filled out timesheets are as follows:

Exempt employee:

	HOURS WORKED					**LEAVE**		
DAY	FROM	TO	REG. HOURS	OT	HOL.	ANNUAL LEAVE	SICK LEAVE	Comment Area
Sunday								
Monday	8:00 AM	4:30 PM	8.00					
Tuesday	9:00 AM	4:30 PM	8.00					
Wednesday	8:00 AM	6:30 PM	8.00					
Thursday	7:00 AM	11:30AM	8.00					
Friday	8:00 AM	4:30 PM	8.00					
Saturday								
TOTAL			40.00		-	-	-	

Hourly Employee:

	HOURS WORKED	**LEAVE**

DAY	FROM	TO	REG. HOURS	OT	HOL.	ANNUAL LEAVE	SICK LEAVE	Comment Area
Sunday								
Monday	8:00 AM	4:30 PM	8.00					
Tuesday	9:00 AM	4:30 PM	7.00					
Wednesday	8:00 AM	6:30 PM	10.00					
Thursday	7:00 AM	4:30 PM	9.00					
Friday	8:00 AM	4:30 PM	6.00	2.00				
Saturday								
TOTAL			40.00	2.00	-	-	-	

Workers' Compensation

Employees of the PVARF are covered by the Workers' Compensation system administered by the State of Oregon. Employees also are categorized by the type of work they do. Charges for workers' compensation insurance are based on the perceived workplace hazards, so it is very important to designate the employee's duties at the time of hiring or whenever job activities change significantly. This designation will be reflected in the job description (see above). Based on its past experience, PVARF employees are placed into three job categories:

1. Administrative or management employees who work in an office setting and do not usually work with chemicals or laboratory equipment.
2. Laboratory employees who work with chemicals and/or laboratory equipment but not usually with laboratory animals.
3. Employees who have positions in laboratories or the animal facility in which they have frequent contact with laboratory animals.

Please circle the appropriate category on the *Personnel Request* form.

Malpractice Coverage for Clinical Work

No PVARF employee may provide clinical care to patients as part of his/her employment unless prior arrangements for malpractice insurance coverage have been made. PVARF provides malpractice coverage for physicians, nurses, nurse practitioners, physician assistants, and selected other clinical professions. This malpractice coverage applies only to clinical care that is directly related to an approved research project. Normally, it is expected that this clinical work will be performed on the VAMC premises. Other clinical work not related to the approved project is not covered. If project-related clinical work will be performed at a location other than the VAMC, prior approval and appropriate credentialing must be obtained.

PVARF employees who will conduct clinical work must complete applications for malpractice insurance prior to beginning the clinical activities. Verification of clinical credentialing through the VAMC is also required. PVARF will provide the malpractice insurance, which will be paid for with PVARF corporate operating funds. PVARF will not reimburse employees for private malpractice insurance coverage. Thus, all arrangements for malpractice insurance coverage should be made through the PVARF administrative office.

Transferring an Existing VA or OHSU Employee to the PVARF

As funds to support research and education fluctuate, it is frequently necessary to pay salary support for research assistants and other employees from different sources. If the person being hired as a PVARF employee is transferring from another position at the Portland VAMC or Oregon Health & Sciences University (OHSU), a formal recruiting process does not need to be followed. The PVARF *Personnel Request* and accompanying forms will still need to be completed for each person transferring into the PVARF.

If a PI wishes to reinstate a former PVARF employee, a new *Personnel Request* form must be submitted to the AO, Research Service for review and approval prior to beginning work.

Simultaneous Employment by the PVARF and the VAMC

Part-time or full-time VA employees may be hired as part-time non-exempt employees of the PVARF. Initiation of the part-time PVARF employment must be accomplished through the procedures described in the previous section. No VA employee may work for the PVARF on government time. Any salary or wages earned as a PVARF employee must be for hours worked outside of the VA tour of duty and for duty different from the individual's VA work. A VA employee may not receive wages from the PVARF at the direction of the employee's federal supervisor for services performed off-duty which are part of that person's official duties.

All individuals who are employed by both the VA and PVARF must complete a Memorandum of Understanding that documents the weekly hours committed to working for the VA, PVARF, and any other employers. The form included in Appendix P can be used for this purpose. If the individual being hired is an investigator, the ACOS/R&D will be asked to approve the hiring, and a specific plan for weekly schedules of work will be required.

Nepotism

The PVARF permits the employment of qualified relatives of employees as long as such employment does not, in the opinion of the corporation, create actual or potential improprieties or conflicts of interest. Individuals who are related by blood or marriage are permitted to work in the same facility, provided no direct reporting or supervisory-management relationship exists. That is, no employee is permitted to work within the chain of command of a relative if one relative's work responsibilities, salary, or career progress could be influenced by the other relative. For purposes of this policy, a relative is defined as a spouse, child, parent, sibling, grandparent, grandchild, aunt, uncle, first cousin, or corresponding in-law or step-relation. This policy applies to all job categories, including permanent, temporary, and part-time employees.

Employment of Minors

For minors under the age of 18, the Fair Labor Standards Act (FSLA) prohibits employment in

"hazardous" jobs. The federal law also restricts work hours of minors ages 14 and 15. During weeks in which school is in session, these youths can work up to three hours a day for a total of 18 hours per week. During non-school weeks, minors ages 14 and 15 can work up to eight hours a day and 40 hours a week. In addition, the law prohibits employing 14- and 15-year-olds before 7 a.m. and after 7 p.m., except during the summer (June 1 through Labor Day) when work is allowed up to 9 p.m. For individuals who have passed their 16th Birthday but have not attained their 18th Birthday, there are no restrictions on the hours they work during the day, but they may not work more than 44 hours per week.

Hiring Non-US Citizens

Principal investigators can hire non-U.S. citizens if the candidate has an Alien Registration Receipt Card (INS Form N-550 or N-570), which is commonly called a green card. Immigration law is complex and changes rapidly, therefore it is important to contact the US Department of Labor locally or in Washington, D.C. to determine whether your candidate is eligible for employment at the PVARF. These procedures generally require employers to show that efforts to recruit US citizens at the prevailing wage rate for the position have not produced qualified candidates.

J-1 Visa (Exchange Visitor) employment for professors and researchers requires form IAP-66 (Certificate of Eligibility for Exchange Visitors Status). This form describes what kind of work the candidate may perform. The candidate will also need a letter of authorization from the J-1 program sponsor if the candidate wishes to be paid for other activities. The proposed employment must be directly related to the original exchange visitor program objectives. The candidate may be able to obtain permission for occasional lectures or short-term consultations at another institution. The proposed employment must be directly related to the objectives of the J-1 program and must be incidental to the primary program activities. Letters from the prospective employer and the supervisor must be sent to the International Center for approval.

H-1B Visa (Alien in a Specialty Occupation) employment for professionals or those of distinguished merit and ability requires an I-94 form which indicates how long the Visa is effective. Obtaining an H-1B Visa requires a lead time of at least 6 months. Professional workers and/or people with college degrees must petition for an H-1B Visa for a specific institution. The candidate must have a separate H-1B Visa for each institution. Non-citizen physician graduates of foreign medical schools may be granted H-1B Visas for patient care positions if they have passed the U.S. Medical Licensing Examination or its equivalent and the English language proficiency examination given by the Educational Commission on Foreign Medical Graduates.

Payroll Costs

All employees incur costs for taxes and insurance that will be charged to the investigator and/or deducted from employees' paychecks. Withholding for both federal and state income taxes will be made for all employees and is deducted from their paychecks. The following is a table that shows the amount or percentage of the payroll costs and who incurs the cost.

Cost	Employee	Employer

Social Security and Medicare	7.65%	7.65%
State Unemployment (Charged on the first $23,000 of Wages)	0	1.4%
Workers' Compensation State Assessment	$.021 per hour worked	$.021 per hour worked
Workers' Compensation: Clerical, Lab, Animal designation	0	.32% to 1.61%
401(k) Pension Plan	0% - 20%	2% - 6%
Health Insurance – depending on the plan and number of dependents covered	$40.04 to $360.40	$120.14
Dental Insurance – depending on the number of dependents covered	$0 to $74.12	$27.06
Bus Passes	$0	$65

For the purpose of budgeting employee costs, the total charges for employer taxes and other benefits depend on the fixed percentages described above and whether the employee receives health insurance or reimbursement of bus passes. The total cost will range from 11% to 23% and averages approximately 17%.

Work Schedules and Leave

Permanent employees who work 15 hours per week or more will accrue sick leave and annual leave. Temporary employees who work 15 hours per week or more will accrue sick leave but not annual leave. Sick leave accrues at a rate of 5%. In other words, for every 100 regular hours for which the employee is paid, she/he will accrue 5 hours of sick leave. Employees accrue annual leave at a rate that is determined by their length of employment. During the first three years of PVARF employment, annual leave accrues at a rate of 5%. During the fourth through fourteenth years of employment, annual leave accrues at a rate of 7.5%. Individuals who have been employed by PVARF for 15 years or more accrue annual leave at a rate of 10%.

The investigator is responsible for approving and documenting employees' use of annual and sick leave on the biweekly time sheet. The investigator is also responsible for verifying that sick leave is used only for bona fide medical conditions. The PVARF administrative office will maintain a log of accrued and used annual leave and sick leave. An employee may carry over no more than 100 hours of unused annual leave from one calendar year to the next, but unused sick leave may be carried over indefinitely.

The following are paid holidays for PVARF: New Year's Day, Martin Luther King Day, Presidents' Day, Memorial Day, Independence Day, Labor Day, Columbus Day, Veterans Day, Thanksgiving, and Christmas. Employees will receive paid leave for each of these holidays based on 20% of their usual weekly hours. For example, an employee who works 40 hours per week would receive 8 hours of paid leave for a holiday, while an employee who works 15 hours per week would receive 3 hours of paid leave for a holiday.

For employees who work six hours or longer in a day, a meal period of 30 minutes is required. The employee must be relieved of all duty during this time. If the employee cannot be relieved, then the meal period time must be paid. Otherwise, the employee need not be paid for the 30-minute meal period. Paid rest periods of at least ten minutes for adults (15 for a minor) must be provided during each four-hour work period.

Training and Orientation

Principal investigators are responsible for ensuring that the employee receives orientation to the assigned research area and that the employee views the safety training videos available from the Research Service administrative office prior to beginning work. The safety training consists of a series of annual seminars (or videotapes of the seminars) on *General Safety* (for all Research Service personnel), *Chemical and Laboratory Safety* (for those who work in a wet laboratory) and *Radiation Safety* (for any employee who uses radioactive substances). The appropriate annual safety training is mandatory for all research personnel. Videotapes are available in the Research Service Office, Building 101 Room 502, or the VA library. Safety training is considered complete when a *Safety Training Verification* form has been received in the Research Service Office. Investigators should bring each new employee to both the PVARF and VA administrative offices to introduce the employee, obtain appropriate keys, check out safety videos and to obtain an employee handbook.

Salary Increases

Salary Increases can be categorized as 1) cost of living, 2) successful completion of probationary period, and 3) advancement in the position. Cost of living raises should be requested in a letter, memo, or e-mail to the AO, Research Service. For cost of living increases, the request must be submitted prior to the beginning of the calendar year in order for the increase to become effective the first pay period of the new year. Cost of living raises should range from 3-5% of the base salary. PIs who wish to increase the salary level of a PVARF employee who has successfully completed his/her probationary period should send a request to the AO, Research Service. PIs who wish to increase the salary level of a PVARF employee who has assumed a higher level of responsibility or obtained an advanced degree should submit a request to the AO, Research Service with a revised position description.

Bonus Awards

Principal investigators who wish to provide a monetary performance award for employees of the PVARF must submit a detailed justification to the PVARF. A monetary award can be granted to an individual employee or a group of employees for exceptional performance on a specific project or assignment or unusual competency in a situation related to employment. All PVARF employees who have been employed for more than 90 days are eligible to receive an award. Temporary or intermittent employees are not eligible for a bonus award. An employee may only receive one award per calendar year. The basis for the award should be fully described in a written narrative format, providing clear, concise and factual information upon which the award recommendation is based.

The amount of the monetary award should reasonably reflect the level of award but cannot

exceed $1,500 (before taxes) and should be commensurate with the scope and impact of the employee(s) performance. PIs should be consistent in recommending awards within their program area to improve employee morale. Monetary awards are taxable, and the PI should take into account that approximately 33% of the amount will be deducted for tax purposes. The PI must have the funds available in his/her account to cover the bonus and related payroll costs. The President of the PVARF will evaluate each request for a performance award, notify the PI in writing of the decision, and provide documentation to the PVARF administrative office. The employee will receive the bonus check with the next distribution of paychecks.

Award Table

Moderate – Change or contribution to an operating principle, practice, procedure or program.	Up to $500 Before Taxes
Substantial – Significant or important change, contribution to, or modification of an operating principle, practice, procedure or program.	Up to $1,500 Before Taxes

Family Leave

Oregon State law requires that the PVARF provide its employees with leave to care for themselves or family members in cases of illness, injury, childbirth, or adoption. If leave is for the purpose of providing care for a family member, the care must be for one of the following relatives: a spouse, parent, parent-in-law, same sex domestic partner, or child with a serious health condition. An employee must have been employed at least 180 days by PVARF in order to take leave to care for a newborn, newly adopted child or newly placed foster child. For all other leave benefits, the employee must have been employed by PVARF at least 180 days and also have a work schedule that averages at least 25 hours per week. Employees are entitled to 12 weeks within any one-year period, with an additional 12 weeks available to a woman for an illness, injury or condition related to pregnancy or childbirth. Parents who use family leave to care for a newborn, newly adopted child or newly placed foster child are also entitled to take up to 12 weeks to care for a child with an illness or an injury that is not a serious health condition under certain circumstances.

Employees are required to give 30 days notice in advance of the leave, unless the leave is taken for an emergency. This notice must be given in writing. In an emergency, the employee must give verbal notice within 24 hours of starting the leave.

Employees are entitled to use any accrued annual leave for the family leave. Employees who take leave to care for a newborn, newly adopted child, or newly placed foster child may use accrued sick leave as well as annual leave. Sick leave may also be used to attend to any necessary activities relating to adoption procedures or for travel to complete the adoption of a child. Otherwise, the family leave is unpaid. If the employee is on unpaid leave, procedures for health insurance payments will be the same as described below for leave without pay. Sick leave may also be used to make arrangements necessitated by the death of a family member or to attend the funeral of a family member.

Leave without Pay

Except for family leave (see above), employees may not undertake leave beyond the annual leave and sick leave to which they are entitled. However, investigators may elect to place an employee on leave without pay with the understanding that they may be liable for paying the entire cost of the employee's health insurance for the duration of the leave without pay. In no case will leave without pay be continued for greater than 24 weeks.

During leave without pay, the investigator becomes responsible for paying the entire cost of any health insurance under which the employee previously has been covered. When the employee returns to a paid status, PVARF will deduct from subsequent paychecks the accumulated portion of the health insurance premiums that the employee would normally have paid. For example, if an employee was having $56.78 deducted from each paycheck for health insurance and then went on leave without pay for three pay periods, $170.34 ($56.78 X 3) would be deducted from subsequent paychecks. No more than 10% of each pay period's gross wages will be deducted for this repayment, so the number of paychecks having these deductions will depend on the duration of the leave without pay and the employee's salary rate. All such re-payments will be returned to the investigator's account. If the employee does not return from the leave without pay status and terminates employment from PVARF, no repayments for health insurance premiums will be made, and the investigator will have no funds returned to his/her account.

Jury Duty

PVARF employees summoned to perform jury duty may fulfill this civic responsibility without forfeiting annual leave. The employee should submit the jury summons to the PVARF administrative office at least one week prior to the commencement of the period of jury service. The administrative staff will then notify the principal investigator of the required absence. The timesheet for the period of jury duty will be prepared by the administrative office. The employee must return to the PVARF any monies received from the court in payment for their jury duty. These funds will be deposited in the investigator’s account as partial reimbursement for the wages paid during jury duty.

Parking and Commuting Expenses

PVARF endorses public transportation as a means of commuting to work. Employees who do not have parking privileges at the VAMC may request reimbursement for the cost of Tri-Met bus passes. Employees who desire such reimbursement should purchase monthly bus passes from Tri-Met and request the reimbursement from the PVARF Administrative Office. Reimbursement will be made on a monthly basis for a pass covering the number of zones between the employee’s home and the Portland VA Medical Center. Verification that the employee has neither a VA parking card or participation in a car pool will be performed prior to the reimbursement.

Employees also may be reimbursed for the cost of parking for temporary off-site duties, such as a requirement to travel to another hospital to perform data gathering. A *Check Request* form should be submitted with accompanying invoice or receipt for these expenses.

Resignations/Terminations

When an employee terminates his/her employment with the PVARF, the investigator must immediately inform the PVARF administrative office, so that a final paycheck can be issued in a timely manner. The State of Oregon has set up the following guidelines that must be met:

1. When an employee resigns without prior notice: The final paycheck must be given to the employee within five working days unless a regular payday occurs within the five-day period. Then the employee must receive their final paycheck on that regular payday.
2. When an employee resigns or is laid off with advance notice: When at least 48 hours of notice is given, the final paycheck is due on the employee's last day worked.
3. When an employee is terminated without advance notice: The final paycheck must be paid not later than the end of the first business day after the termination.

The state can assess large penalties for final paychecks that are late. To avoid penalties, the PI must inform the PVARF administrative office with a memo as soon as they know that an employee is leaving. The memo should contain the following information:

1. Employee name
2. Last day of employment
3. Why the employee is terminated (e.g., project ended, employee quit, fired, etc.)
4. If the employee was fired, provide details for unemployment purposes
5. Employee's current address and home phone number

The PVARF administrative office will then notify the investigator when to submit a final timesheet for compliance with Oregon State Laws. Employees who have health care coverage must be offered insurance continuation (#10 below) within 14 days. Failure to do so may result in serious fines.

Unused annual leave will be paid as a lump sum on the employee's final paycheck. However, unused sick leave will not be paid.

On-the-Job Injuries

Any on-the-job injury involving an employee must be reported immediately to the PVARF administrative office, regardless of severity. Serious injuries will be referred immediately to the Employee Health Office or Emergency Care Unit at the Portland VAMC. For injuries involving loss of work, the employee will be placed on sick leave status. After investigation of the incident, the employee's sick leave will be restored if it is judged that the lost work was appropriately due to the injury. The employee's supervisor must promptly prepare a detailed report of all circumstances involving the injury using the *Supervisor's Report of Injury* form (Form 1763) (Appendix Q). This form should be submitted to the PVARF administrative office.

Insurance Benefits

1. Eligibility. Employees are eligible for the PVARF health insurance plan if PVARF is their primary employer and they work 30 hours per week or more on VA-approved

research and/or education projects. For example, a research assistant working in a VA laboratory who works 20 hours per week for PVARF and 10 hours per week for OHSU would be eligible for coverage. Temporary employees (those expected to work fewer than 90 days at the time of hire) are excluded from coverage. Employees may elect to waive all insurance coverage.

2. Initiation of Coverage. Coverage begins the first of the month following 30 days of employment (i.e., 30 - 60 days following beginning work).

3. Loss of Eligibility. An employee is no longer eligible for health insurance upon termination, layoff, or when total hours scheduled to work are below 30 hours per week. The employee has the option for "Continuation of Insurance" (#10 below).

4. Components of Package. The insurance package includes medical and dental insurance for the employee and dependents. The medical and dental insurance programs are separate packages. The employee may choose to waive either of these packages without affecting his or her eligibility for the other package.

5. Health Insurance. Employees may choose health insurance through either HealthNet of Oregon or Kaiser Permanente. For either insurance provider, insurance coverage can be elected to cover the employee only, the employee and spouse, the employee and children, or the employee and all family members. Current monthly insurance premium rates are available from the PVARF administrative office. The investigator's PVARF account will be charged $120.14 per month for health insurance premiums. The remainder of the health insurance premium cost will be deducted from the employee's paycheck. Based on the current premium rates, the deduction for employee only coverage is $48.49 per month for the HealthNet plan and $40.04 for the Kaiser plan. Paycheck deductions for health insurance are made on a "pre-tax" basis, meaning that no social security tax will be charged against this deduction, and health insurance payments made by the employee will not be reported as income to the IRS.

6. Dental Insurance. Dental insurance is provided by Kansas City Life. Dental insurance for the employee is provided free of charge by PVARF to those employees who are eligible for insurance benefits. Employees may choose to cover additional family members in the dental insurance program. For coverage of the employee and their spouse, $26.29 will be deducted from the employee's paycheck each month. For coverage of the employee and all family members, $74.12 will be deducted each month. For coverage of the employee and their children, $47.83 will be deducted each month. To cover the cost of basic dental insurance coverage, $27.06 is deducted from the investigator's account each month.

7. Components of Health Insurance Plan. Kaiser Permanente is a self-contained HMO system. All services are provided through Kaiser, and the program does not cover healthcare obtained outside of the Kaiser system. There are small co-payments for most services, but there is no yearly deductible. The HealthNet program is known as a triple option-point of service plan.

8. Enrollment. Employees should meet with a member of the PVARF administrative staff on or before the first day of work. A health care packet will be provided explaining

employee options. The employee is required to enroll or waive coverage within two weeks. Insurance coverage becomes active the first of the month following 30 days of employment.

9. Open Enrollment. Once a year, during open enrollment, an employee may elect to receive or waive health insurance, change their type of coverage, add or delete dependents, or acquire additional voluntary insurance. The only other time this may be done is after a major family status change such as a marriage, birth of a child, death, etc. Currently, open enrollment is every June for health insurance and September for dental insurance.

10. Continuation of Insurance. The 1996 Consolidated Omnibus Budget Reconciliation Act (COBRA) requires that all employees have the option to continue health coverage even after termination of employment or change of eligibility. The total cost of the premium will be paid by the employee, but the PVARF administrative office must serve as the intermediary for the monthly premiums. The government requires that the employee be notified of this option in writing within 14 days of termination of employment. A termination memo from the investigator must be sent to the PVARF administrative office immediately upon termination of employment. If the PVARF administrative office does not receive notification of termination, the employee will continue to receive insurance coverage. All premium costs will be charged to the investigator. The duration of continued health coverage is 18 months. It is the same health insurance offered by PVARF and is subject to the same rate changes, health carrier changes, and changes to enrollment (#9 above). A child who turns 21 and no longer qualifies as a dependent may apply for private coverage. Dependents also are eligible for continued health coverage in cases of death or divorce. Detailed information on this and other specific COBRA related issues is available at the PVARF administrative office.

11. Insurance Coverage During Leave Without Pay. As long as an individual is employed by PVARF and works the minimum required hours, this person is entitled to insurance coverage. If an eligible employee takes an approved leave of absence without pay, the investigator will be required to pay the entire insurance premium during the absence.

12. Insurance Coverage Upon Termination. An employee is insured for the entire month regardless of the termination date. If the employee works half of the month, the second half of the employee's premium contribution will be deducted from the employee's final paycheck. The investigator will be charged the full monthly amount of the employer's premium contribution regardless of the termination date of the employee.

13. Voluntary Insurance plans. Any employee who works 20 hours per week or more is eligible to purchase long term disability insurance for themselves and they may also purchase life insurance for themselves, their spouses and their children. The PVARF administrative office has detailed information on these plans.

Pension Plan

PVARF offers a pension plan to all permanent employees. It is a 401K plan in which all contributions are maintained in a private account for the employee. The account funds can be invested in a wide range of options, such as fixed interest funds, stock mutual funds, etc. A fixed employer contribution is made to each employee's account annually, and additional contributions can be made by the employee on a pre-tax basis. If the employee contributes funds to the account, additional employer contributions are made to match the employee contributions. There is no vesting period for the plan, and all account funds remain with the employee if she/he leaves PVARF employment. Further detailed information about the pension plan is available from the PVARF administrative office.

APPENDIX A

Portland VA Research Foundation, Inc.

P.O. Box 69539 Portland, OR 97201
(503) 273-5228

NEW ACCOUNT REQUEST

REQUESTER'S NAME (Please Print)	RESEARCH ACCOUNT NAME	
DONOR'S NAME, ADDRESS, & TEL. NO.	FOUNDATION AUTHORIZATION ACOS, Research and Development Signature	
INDIRECT COST ASSESSMENT (PERCENTAGE)	ACCOUNT #	ACCOUNT START DATE

INDIRECT COSTS: 20% FROM INDUSTRY, OTHERWISE, THE RATES WILL BE BASED ON THE POLICIES OF THE FUNDING SOURCE.

BRIEF DESCRIPTION AND PURPOSE OF ACCOUNT

ACCOUNT RESTRICTION STATEMENT

It is the responsibility of the PI to ensure that all disbursements of funds from specific source or Granting agency are spent according to the guidelines established by that source or agency. Individuals may be held personally responsible if a commitment of funds violates the intent of the donor agency. I have read and agree to comply with the above statement regarding donor restrictions.

Signature of PI_____

ACCOUNT SIGNATURE AUTHORITY NAME (Please Print)		ACCOUNT SIGNATURE AUTHORITY NAME (Please Print)	
SIGNATURE		SIGNATURE	
PHONE NUMBER	MAIL CODE	PHONE NUMBER	MAIL CODE

APPENDIX B

SAMPLE DONOR ACKNOWLEDGEMENT LETTER

November 1, 2000

Any Sponsor
Any Street
Normal, NJ 01000

Dear Any Sponsor:

I am writing on behalf of the Portland VA Research Foundation, Inc. to acknowledge receipt of check number 12345 in the amount of $25,000 from Any Sponsor.

It is our understanding that this amount is provided in support of the research project "Any Project" which has been approved for performance at the Portland Veterans Affairs Medical Center under the direction of Dr. P. Investigator. Further, it is our understanding that there are no specific restrictions on the use of these funds and that they may be used to pay for any research purpose approved by the Portland VA Research Foundation, Inc.

Please be advised that the Portland VA Research Foundation, Inc. assumes no responsibility for the actual conduct of the research which is the responsibility of the principal investigator with oversight by the Research and Development Committee of the Portland Veterans Affairs Medical Center.

Upon completion of the study, it is our usual practice to allow the investigator to use the remaining balance of funds, if any, for the general support of approved research activities. Please advise the Portland VA Research Foundation, Inc. if this is not acceptable to you or if the use of the funds is restricted.

The Portland VA Research Foundation, Inc. is pleased to participate in this research with Any Sponsor. We thank you for your contribution.

Sincerely,

Executive Director
PVARF

APPENDIX C

PORTLAND VA RESEARCH FOUNDATION, INC.

TRAVEL AUTHORIZATION/REIMBURSEMENT FORM

(Accompanies PVARF Check Request Form)

Traveler's Name	Investigator Name	PVARF Acct #	Check Request #

Travel Dates From: To:	Destination	Date Prepared

Itemized Dollar Expenses **Please Note:** Original receipts (Airline Ticket, Hotel Bills, Etc.) are required for all Reimbursements

Date	Itinerary Show dates and times of Arrival & departure	Travel Airline, Bus, Etc	Lodging	Telephone	Meals **(Per Diem Only)** Breakfast	Lunch	Dinner
Totals:							

Purpose of Travel, Including Description of its Relationship to Research Project:

Other Expenses: (Registration, Syllabi, Etc.) – **BE SPECIFIC**		
NOTE: Liquor, video rentals, recreational rentals and other non-business related expenses are not reimbursed	Claimant's Signature	**TOTAL REIMBURSEMENT**

APPENDIX D

PORTLAND VA RESEARCH FOUNDATION, INC.

TRAVEL AUTHORIZATION/REIMBURSEMENT FORM

(Accompanies PVARF Check Request Form)

Traveler's Name	Investigator Name	PVARF Acct#	Check Request #
Wm Osler	J Salk	059	0027
Travel Dates From: 10/3/00 To: 10/8/00	Destination Atlantic City, NJ		Date Prepared 10/22/00

Itemized Dollar Expenses **Please Note:** Original receipts (Airline Ticket, Hotel Bills, Etc.) are required for all reimbursements

Date	Itinerary Show dates and times of Arrival & Departure	Travel Airline, Bus, Etc.	Lodging	Telephone	Meals **(Per Diem Only)** Breakfast	Lunch	Dinner
10/3/00	7:00 am Leave Portland	Airfare $428.00					
	3:50 pm Arrive Atlantic City	Taxi $15.00	$95.00		$10.00	$15.00	$35.00
10/4/00	ASAM Meeting		$95.00		$10.00	$15.00	$35.00
10/5/00	ASAM Meeting		$95.00	$6.40	$10.00	$15.00	$35.00
10/6/00	AFCR Meeting		$95.00	$5.80	$10.00	$15.00	$35.00
10/7/00	AFCR Meeting		$95.00		$10.00	$15.00	$35.00
10/8/00	4:20 pm Leave Atlantic City	Taxi $12.00			$10.00	$15.00	
	8:20 pm Arrive Portland	Parking $36.00					
Totals:		$491.00	$475.00	$12.20	$60.00	$90.00	$175.00

Purpose of Travel, Including Description of its Relationship to Research Project: Present research findings via poster at American Society Alt Medicine Meeting 10/4 – 10/5 Attend AFCR National Meeting 10/6 – 10/8 (presentations on current research about splenic disorders)		
Other Expenses: (Registration, Syllabi, Etc.) – **Be Specific** ASAM Registration Fee - $130.00 AFCR Registration Fee - $100.00 ASAM Abstract Book - $15.00		
Note: Liquor, video rentals, recreational rentals and other non-business related expenses are not reimbursed	Claimant's Signature	**TOTAL REIMBURSEMENT** $1,548.20

APPENDIX E

INDEPENDENT CONTRACTOR SELECTION

The Internal Revenue Service *requires that we treat all individuals as employees unless they can substantiate treatment as an independent contractor.* The following criteria are based on IRS regulations and are used at the Portland VA Research Foundation, Inc. (PVARF) to determine if an organization is qualified to be an independent contractor. If you meet all the items listed below you will be considered an independent contractor; if you do not or if there are gray areas, PVARF will take a conservative view in making the final determination. **Please place a check by each item you meet below.**

_____1. Independent contractors possess their own letterhead, business cards and invoices as a distinct business; **AND**

_____2. Independent contractors actively offer similar services to other clients at the same time as their work for PVARF; **AND**

_____3. Independent contractors are free to set their pattern or sequence of work; **AND**

_____4. Independent contractors engage in a profession or high-skill work; **AND**

_____5. Independent contractors provide their own insurance and are not covered by PVARF's workers' compensation or liability insurance; **AND**

_____6. Independent contractors do not have an assumed, continuing long-term work relationship with PVARF; **AND**

_____7. PVARF does not reimburse travel or other expenses of an independent contractor, except as specified in a written contract; **AND**

_____8. Independent contractors are paid for a fixed contract period rather than by the hour, week, or month; **AND**

_____9. As a general rule, independent contractors are not expected to spend more than 25% of their work time for PVARF; **OR** they may spend a higher percentage of their time on a contract of short duration; **AND**

_____10. Both PVARF and the independent contractor believe and intend that an independent contractor relationship exists; **AND**

_____11. Independent contractors work for PVARF under a written "for services" contract; **AND**

_____12. Independent contractor agreements cannot be terminated "at will"; agreements may be terminated for cause without notice for breech of contract through nonperformance or negligent performance, or for no cause with a written notice period; **AND**

_____13. Individuals working as independent contractors for PVARF receive federal Form 1099 MISC as provided by law, and are expected to report the receipts as business income on their tax returns.

After reviewing the above criteria, I find I am in compliance and agreement with the terms and conditions; I request to be classified and paid as an independent contractor.

Print
Name:_____Signature:_____

Business Name and Address:_____ Date:_____

_____EIN or SS#:_____

PI Signature:_____ Account #:_____

****RETURN TO PVARF ADMINISTRATIVE OFFICE FOR FINAL APPROVAL****

I approve classification of the above individual as an Independent Contractor:

PVARF Executive
Director:_____

APPENDIX F

Portland VA Research Foundation, Inc.

BUSINESS MEAL EXPENSES
(ACCOMPANIES CHECK REQUEST FORM)

Date of Meeting:

Place:

City/State:

List of each Attendee/Title:

Research Purpose:

Duration of Meeting:

Check to be issued to:

Check amount (attach original receipt):

Note: Meals for spouses are not reimbursed. Charges for liquor is not reimbursed. When the **original** receipt is not available, the **original** credit card statement or **original** cancelled check showing paid expense is required. (Photocopies of these documents may be kept by investigators for personal records.)

APPENDIX G

Portland VA Research Foundation, Inc.

PROFESSIONAL MEMBERSHIP PAYMENT REQUEST

Non-profit Corporation regulations do not permit PVARF to pay for memberships in professional societies. Your request for payment will be approved only if the funds apply to a subscription in a professional journal relevant to your research project. Please complete the following form when requesting payment for professional memberships.

1. Name of professional society: _____

2. Membership fee: _____

3. Number of months covered by fee in #2: _____

4. List the journal subscriptions included with membership:

   _____

   _____

_____
_____

5. Description of relevance of these journals to your research project:

_____
_____

_____
_____

_____
_____

_____
_____

_____
Signature of Investigator

APPENDIX H

Job Description Check List

- ✓ Use terse and direct style. Sentence structure should be simple.
- ✓ Keep the job description brief; don't try to write an abridged department-operating manual. Discriminate between important and trivial facts.
- ✓ Begin each sentence with an active verb, third person singular – for example, "bends," "cuts," "polishes." Use the present tense.
- ✓ Be logical. The description must be easy to understand. If the job is repetitive, describe the tasks as they occur in the work cycle. For varied jobs, list the major tasks followed by less frequent or less important tasks.

- ✓ Use proper detail. The description should cover the meaningful duties of the job without going into unnecessary detail. Job descriptions should have enough detail to give a clear picture of the job to someone not familiar with it.

- ✓ Quantify the expectation. Instead of "lifts heavy packages," a job description might say "moves packages weighing up to 50 pounds from one location to another."

- ✓ Describe rather than prescribe. "Operates copier" is preferable to "must know how to operate copier."

- ✓ Emphasize the skills and purposes of the job. Cover "inputs" – the knowledge, skills, and abilities an employee uses to perform the job – and "outputs" – the end result of an employee's efforts. Avoid prescribing methods – how tasks are done.

- ✓ Mention specific tools and equipment the employee uses.

- ✓ Quantify terms like "may" and "occasionally" whenever possible. For example, say, "Job requires traveling to three or four conferences per year," instead of, "Job requires occasional travel."

- ✓ Avoid words like "responsible for" and "handles" that do not tell specifically what the employee does. Others to avoid: "checks," "prepares," "operates," "examines," and "sends."

- ✓ Use parentheses to indicate qualifying or incidental explanatory details, as opposed to actual description of job duties.

APPENDIX I

Salary Guidelines for R&D Personnel 2001

Position Title	Level of Responsibility	Education* & Experience	GS Level & Salary Range
Research Technician	Requires close supervision in performing standardized assignments. Performs functions such as glassware washing and/or observing scientific techniques.	High School No Experience Hourly (OT Paid)	GS-1 to GS-4 $16,000 to $22,000
Research Technician VMU	Requires close supervision in performing standardized assignments. Follows a set schedule for animal care and maintenance. Must be able to provide coverage for weekends and evenings.	High School or BS Degree No Experience Hourly (OT Paid)	GS-3 to GS-6 $20,000 to $27,000
Research Assistant I	Requires close supervision in performing standardized routine tests. Collects and analyzes data, and prepares reports. Some innovation and problem solving required.	Bachelor's Degree No Experience Hourly (OT Paid)	GS-4 to GS-5 $22,000 to $24,000
Research Assistant II	Receives occasional supervision in performing standardized routine tests. Collects and analyzes data, and prepares reports. Innovation and problem solving required. Provides some experiment design.	Bachelor's Degree 1 year or lab courses in college Salaried (No OT Paid)	GS-5 to GS-7 $24,000 to $30,000
Senior Research Assistant	Receives minimal supervision. Performs tests, collects and analyzes data and prepares work reports. Innovation and problem solving required. Able to provide design of experiments to achieve project objectives.	BS Degree w/courses in field of research 3 years Experience Salaried (No OT Paid)	GS-7 to GS-9 $30,000 to $37,000
Research Associate	Receives minimal supervision. Exercises judgment, creativity, solves problems, takes independent action. Assists in experimental design & responsible for specific phases of projects. Supervises & trains junior staff.	Masters Degree w/ courses in field of research 5 years Experience Salaried (No OT Paid)	GS-9 to GS-11 $37,000 to $44,000
Senior Research Associate	Research Associate qualification plus ability to write grant applications to major funding agencies such as VA Merit Review or NIH. Capable of serving as co-principal investigator. Must author at least 2 publications.	Doctor's Degree in field of research 5 years Experience Salaried (No OT Paid)	GS-11 to GS-13 $44,000 to $63,000
Program Assistant	Requires close supervision and assistance in establishing priorities. Provides clerical, administrative and program development support. Assists with employee management and training.	High School No Experience Hourly (OT Paid)	GS-4 to GS-7 $22,000 to $30,000
Administrative Assistant	Requires some supervision but can assume independent actions and responsibilities to relieve executives. Handles finances, manuscripts and grants. Coordinates employee management and training.	Business Degree desirable 1 year Experience Salaried (No OT Paid)	GS-7 to GS-9 $30,000 to $37,000
RN Study Coordinator	Provides data analysis, prepares patient data forms, consents patients, monitors vital signs, and performs procedures within scope of duty.	RN W/ 2-4 YR Degree 1 Year Experience Salaried (No OT Paid)	Nurse Level I/II $44,000 to $52,000
NP Study Coordinator	Provides data analysis, prepares patient data forms, consents patients, monitors vital signs, performs physical exams, and performs procedures within scope of duty.	Nurse Practitioner Degree 1 Year Experience Salaried (No OT Paid)	NP Level I/II $46,000 to $68,000
Statistician	Analyzes data independently and provides an assessment of data as it relates to trends and statistical significance. Ability to organize data according to scientific requirements.	Bachelors or Masters Degree/Statistics 3 Years Experience Salaried (No OT Paid)	GS-9 to GS-11 $37,000 to $44,000

*Equivalent experience may substitute for the degree requirements at 2 years of experience for 1-year college education.

APPENDIX J

Portland VA Research Foundation, Inc.

Breakdown of Benefits Costs

Legally Required Benefits

Social Security - Medicare
Unemployment Compensation
Workers' Compensation
Federal & State Leave Laws
COBRA - Continuation of Benefits

Benefit Packages

Legally required benefits	11% of salary
Medical/Dental	4% of salary
Transportation	2% of salary
Pension/Retirement Plans	6% of salary
Total	23% of salary

Salary Computation

PVARF employees who are hired on a temporary (under 90 days) are not eligible for medical/dental benefits, transportation, or pension/retirement benefits; therefore when computing salary costs, use the base salary and add 11% to cover the legally required benefits.

PVARF employees who are hired for than 90 days and work less than 30 hours per week are eligible for pension/retirement and transportation benefits but not for medical/dental benefits; therefore when computing salary costs, use the base salary and add 19% to cover the legally required benefits and pension/retirement benefits.

PVARF employees who are hired for more than 90 days and work 30 hours per week or more are eligible for all benefit packages; therefore when computing

salary costs, use the base salary and add 23% to cover the legally required and additional benefit packages

APPENDIX K

Checklist for Effective Employment Ads

What to include in ads:

Name the job, preferably in the headline or first line of copy. Job titles should be descriptive. "Trainee," for instance, could apply to just about any occupation, while "senior research assistant" is sufficiently descriptive.

Stress the program and the job's strong points. Even a short phrase can tell applicants what makes the environment a good place to work: "corporate culture that values employee input," "good working conditions;" "chances for advancement", "fringe benefits," and so on.

State job qualifications clearly. The ad should spell out minimum acceptable education, training, and experience, as well as any special skill requirements (e.g., research experience, and familiarity with certain equipment, ability to perform certain procedures).

Give facts about the job. Specify working hours and days, job location, overtime or other special requirements, whether travel is involved, and so on.

Tell prospective applicants when, where, and how to apply. State whether applicants can phone for appointments or should mail or fax resumes.

Deal with salary. Consider whether to name a specific figure, give a range, mention a top starting figure (up to $25,000), include a noncommittal statement (such as "salary commensurate with ability and experience"), or ask applicants to state salary requirements or present earnings.

Comply with EEO requirements. Use gender-neutral job titles (e.g. "mail carrier" instead of "postman"), and make sure listed requirements are job-related. For federal contractors, including an EEO statement is a must, but any employer would benefit from placing a simple "equal employment opportunity employer" after the company's name in an ad.

Decide whether to use a "blind" ad. "Blind ads", ads in which the organization's name is omitted and a post office box number rather than a street address is used, serve several purposes. First, they control for the possibility of dozens of respondents disrupting business by telephoning or even dropping by the office. They can also prevent current employees from becoming aware that certain positions within the organization are being created or replaced. The main drawback to a blind ad is that potential recruits often are reluctant to respond when they do not know the organization to which they are applying.

Select the right size. The size of the ad depends on the labor market and the type and number of other ads the publication carries. If, for example, ads for research assistants fill several columns, an individual ad running four lines is not apt to get much notice unless it is distinctive in some way. Consider putting ads for multiple positions into one large ad for a more eye-catching effect.

APPENDIX L

Interviewing Techniques

Steps to successful interviews

- Ask detailed questions about
  - Past work experience and education
  - Candidate's knowledge, skills and traits which are necessary for success in the position
  - Ask open-ended questions
  - Avoid questions in which the second word is YOU
  - Avoid leading the applicant by preparing YOUR questions in advance
  - Don't talk too much. Instead observe and listen
  - Maintain appropriate eye contact
  - Persuade the candidate to elaborate on suggestive or incomplete responses by asking follow up questions.
  - Sell your project and the important role the position plays

How to structure an interview

- Set the atmosphere--Greet the candidate and make small talk to help him/her relax, transition into the interview by asking what he/she knows about the position or how he/she heard about the position.
- Give an overview--Tell the candidate how the interview will proceed and what will be covered. Let him/her know there will be time to ask questions.
- Cover the candidate's work experience and education--Ask prepared questions first, followed by any responses that deserve further inquiry
- Ask about a candidate's interests and self-assessment--After covering education and work experience, ask a few questions about activities and interests and then ask for a self-assessment.
- Review the job--Save discussing details of the job until the interview has covered a candidate's qualifications to avoid the applicant exaggerating certain skills required in the position
- Close the interview--Give the candidate an opportunity to ask questions. Explore doubts or reservations he/she might have. Leave a way out for possible rejection by explaining that there are other candidates to interview before selection.

Documenting the interview

- *Keep the interview on schedule*

- *Take notes for reliable recall*
- *Note dress, behavior, or facial expressions, if relevant*
- *Wait until after the candidate has left to write down any evaluative judgments*
- *Note points to follow up later in the interview*
- *Retain records on all interviews for 2 years and devise a system that describes how you rated one candidate over another*

APPENDIX M

SAMPLE PVARF COMMITTAL LETTER

November 21, 2001

Sally Special
123 Grove Avenue
Portland, Oregon

Dear Sally,

Congratulations on your selection as a Research Assistant at the Portland VA Research Foundation. Your employment will become effective on December 6, 2001. This full time position is forty (40) hours per week with an annual salary of $21,000.

The benefits of this position include health care and dental insurance, a retirement package and paid sick leave and vacation leave (annual leave) which accrue at the rate of four (4) hours per each two (2) week pay period. You will receive eight hours of holiday pay for the ten federal holidays: New Years Day, ML King Day, Presidents Day, Memorial Day, 4th of July, Labor Day, Columbus Day, Veterans Day, Thanksgiving Day, and Christmas Day.

You will receive a job description and orientation guide that describes your duties and responsibilities. Your immediate supervisor will confer with you on a regular basis to discuss your level of achievement and make constructive recommendations for projects and priorities. If you have any questions or concerns about your assignments, please do not hesitate to contact me or your supervisor for assistance. We look forward to working with you!

Principal Investigator

APPENDIX N

PORTLAND VA RESEARCH FOUNDATION

TIME AND ATTENDANCE SHEET

Timesheets are due by noon on the Tuesday following the end of the pay period

Employee
(First & Last Name) _____

Pay Period Worked
From: _____ To: _____

WEEK ONE								
	HOURS WORKED					LEAVE		
	TIME WORKED		TOTAL HOURS WORKED			HOURS USED		
DAY	FROM	TO	REG HOURS	OT	HOL	ANNUAL LEAVE	SICK LEAVE	COMMENT AREA
Sunday								
Monday								
Tuesday								
Wednesday								
Thursday								
Friday								
Saturday								
TOTAL								

WEEK TWO								
	HOURS WORKED					LEAVE		
	TIME WORKED		TOTAL HOURS WORKED			HOURS USED		
DAY	FROM	TO	REG HOURS	OT	HOL	ANNUAL LEAVE	SICK LEAVE	COMMENT AREA
Sunday								
Monday								
Tuesday								
Wednesday								
Thursday								
Friday								
Saturday								
TOTAL								

	Reg OT SL AL HOL

	Total

Account Number: _____

Signature of Employee: _____

Signature of Supervisor: _____

APPENDIX O

Portland VA Research Foundation, Inc.

Essential Information to be Included on Timesheets

- Your Name (Printed Legibly)
- The Pay period Worked
- Actual Hours Worked
- Time Rounded to the Nearest ¼ Hour and Totaled
- Account Number
- Your Signature
- Your Supervisor's Signature

Other Payroll Information

- Timesheets must be submitted on time to be processed on time – Timesheets are due at noon on the Tuesday after the end of the pay period.
- Timesheets may not be submitted before the last day worked in the pay period.
- Timesheets may not be signed by anyone other than your actual supervisor.
- Direct deposit pay stubs are delivered through departmental mail. Actual paychecks are mailed to your home address.

- Payday is the 2nd Tuesday after the end of the pay period.
- No faxed timesheets will be accepted – we must have the original signatures.
- You cannot take sick or annual leave hours that you have not yet earned.

APPENDIX P

MEMORANDUM OF UNDERSTANDING

BETWEEN THE PORTLAND VETERANS AFFAIRS MEDICAL CENTER,
OREGON HEALTH & SCIENCES UNIVERSITY (OHSU)
AND THE PORTLAND VA RESEARCH FOUNDATION (PVARF)

This memorandum is to formalize the joint appointment of _____
(Investigator)

as _____ at the Portland VA Medical Center and
(position title)
as _____ at the Portland VA Research Foundation and
(position title)
as_____at Oregon Health & Sciences University
(position title)

Her/His responsibilities are as follows:

	PVARF		VAMC		OHSU		Total	
Responsibilities	Hrs per Week	% per Week	Hrs per Week	% per Week	Hrs per Week	% per Week	Hrs per Week	% per Week
Teaching								
Research (List grant # or Sponsor)								
Consulting								
Administration								
Clinical								
Total								

It is further certified that Dr. _____receives partial salaries from the VAMC, OHSU, and the PVARF and that there is no dual compensation from these three sources for the same work, nor is there an actual or apparent conflict of interest regarding such work.

Requested by: _____
(Investigator Name)

Approved by *(Signatures required)*

_____	_____
Principal Investigator	ACOS Research and Development
_____	_____
VA Service Chief	President, PVARF

Date Prepared: _____

APPENDIX Q

Supervisor's Report of Injury

This form is intended solely for the use of the Portland VA Research Foundation, Inc. It should be completed as soon as possible following the report of an injury to the supervisor. The PVARF will keep this report on file for future reference.

Employee Name: _____

Date of Injury/Incident: _____ Time: _____

Account Number: _____ Accident Reported to: _____

Accident Witnesses: _____

Describe fully how injury happened: _____

_____

_____

_____

_____

What parts of the body were injured? _____

_____

Did the employee stop work as a result of the accident? Yes _____ No _____
If yes, date: _____ time: _____ Was pay continued? Yes _____ No_____

Last pay date: _____ When did employee return? Date: _____ Time: _____
Was injury due to faulty product/machinery? Yes _____ No _____

If yes, name/describe the faulty product/machinery: _____

_____

Did the employee receive medical treatment? Yes _____ No _____
If yes, date of treatment: _____ Attending physician: _____
Clinic/Hospital: _____
Is employee still under medical treatment? Yes _____ No _____

Describe fully the action taken by the supervisor: _____

_____

_____

Supervisor's Signature: _____ Date: _____