Grant Submission Process	RSP.020.01
Effective Date	4.1.2021
Last Revision/Review	11/30/2021

1. Purpose

This document provides general information regarding the steps that Principal Investigators and Project Leaders shall take when submitting a grant application.

2. Related Policy/Authority

3. Faculty/Staff Responsibilities

Principal Investigator
Office of Research and Sponsored Programs
Administrative Services
Executive Administration/Office of the Dean

4. Definitions/Abbreviations

Burrell College or **College** or **Burrell** means Burrell College of Osteopathic Medicine, Las Cruces, NM

Institutional Review Board (IRB) means a standing committee that has been formally designated to review and approve biomedical research involving human subjects.

Institutional Biosafety Committee (IBC) means a standing committee that is responsible for reviewing projects that involve, but are not limited to, recombinant DNA, RNAi, pathogens, human materials and other potentially infectious materials.

Just-in-Time means a process whereby some sponsors allow submission of additional grant application information after completion of the peer review and prior to funding.

MS Teams Channel means an area within Microsoft Teams where groups of people are brought together for work, projects, or common interests. Each channel is built around a topic or a department. Channels are where you hold meetings, have conversations, and work on files together. For the purpose of this SOP, channels will be established through the Burrell College MS Teams site.

Principal Investigator (P.I.)/Program Director (P.D.) means the individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award.

Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of an award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract. The term includes consortium agreements.

Sponsor or **Funding Sponsor** means, governmental agency, academic institution, private organization, or other organization that provides a grant, contract or other arrangement that formalizes the transfer of money to Burrell College for specific purposes.

Sponsored Project means a grant, contract or other arrangement formalizing the transfer of money or property from a **sponsor** to the Burrell College of Osteopathic Medicine with the intent to either carry out a specific purpose or provide a direct benefit to the sponsor.

5. Procedural Steps

5.1   The College recognizes that the requirements for different awards may vary according to the Sponsor's requirements. The principal investigator is responsible for:

1. The Principal Investigator/Project Director notifies the Office of Research and Sponsored Programs (ORSP) of the intent to apply for a sponsored research grant or contract by submitting a [Notification of Intent to Apply for Extramural Funding](). The intent will include the following information:
    a. Name of Principal Investigator/Program Director
    b. Funding Sponsor Information
    c. A copy or weblink of the call for proposals.
    d. Application deadline
    e. Proposed Award Dates
    f. Estimated Total Direct Costs of the proposal.

2. The ORSP will establish a MS Teams Channel for communication with the P.I. /P.D. regarding the proposal. The Teams site will become a site for dialog regarding the proposal submission. Team members will be defined as needed.

3. Preparation of the proposal in accordance with the Funding Program Request for Proposals
    a. The P.I./P.D. is responsible for the project proposal content
    b. The P.I./P.D. is responsible for development of a detailed justified budget in accordance with the funding agency guidelines and allowable expenses that includes the following as applicable:
        i. Direct Costs
            1. Personnel (Salary + Fringe Benefits if allowed)
                a. The P.I./P.D. shall contact the Office of Finance for the fringe benefit rate that will be effective when the grant starts.
                b. College employees will need additional approvals if time allocation for the proposed activity exceeds that in her/his appointment letter.
                c. A draft job description for any new positions funded by the grant shall accompany the proposal transmittal sheet.

2. Supplies
3. Publication Costs
4. Travel
5. Major Equipment
6. Other Costs that are unique to the proposal
   ii. Indirect Costs
      1. Allowable indirect costs in consultation with the Office of Finance
c. Facilities and Equipment Costs: The following areas require that the P.I. /P.D. obtain additional institutional approvals from the Vice-President for Finance & Administration:
   i. Construction and Renovation
   ii. Building Lease Agreements
   iii. Major Equipment Purchases and/or Leases
d. Subawards or External Contracts: Some grants allow for funding of subawards and/or contracts with other entities. Additional institutional approvals are required in advance of grant submission for any proposal that involves subawards or external contracts.
e. Research Laboratories: The P.I./P.D. is responsible for contacting the Office of Research & Sponsored Programs Director of Research Laboratories for any grant that proposes to conduct research in any of the laboratory areas managed by the College to discuss needs as they relate to the grant. The P.I./P.D. shall also indicate if the grant will result in any major equipment that would need to be housed in the Research Laboratories. The Director of Research Laboratories will make a determination as to whether:
   i. the capabilities of the research laboratories can support the proposed activity.
   ii. the research laboratories would be able to house the requested equipment

4. Research Compliance
   a. Human Subjects Research:
      i. The P.I./P.D. shall submit IRB protocols if the research involves human subjects and obtain any requisite approvals that require IRB action prior to submission. Advance planning is required.
      ii. The P.I./P.D. shall notify the IRB if the sponsor allows Just-in-Time approval of human subjects research. A letter from the IRB chair may be required by the sponsor.
   b. Biohazardous Agents and Recombinant DNA:
      i. The P.I./P.D. shall contact the IBC if the proposed activity involves the use of biohazardous agents. Advance planning is required if IBC approval is needed at the time of submission.
      ii. The P.I./P.D. shall notify the IBC if the sponsor allows Just-in-Time approval and the IBC will determine whether the proposed biohazard can be safely handled in the available facilities. Note: Certain agents

may not be allowed in College facilities and shall result in denial of a grant submission.

c. Radioactive Materials:
   i. The use of Radioactive Materials is prohibited in College research activities conducted on campus. Investigators proposing collaborative research involving radioactive materials with another institution shall contact the ORSP in advance of proposal submission as additional approvals shall be required.

d. Experimental Animals:
   i. The College Research Laboratories are not equipped for studies involving experimental animals. Proposals involving research with experimental animals will require arrangements with another institution. The P.I./P.D. shall contact the Office of Research & Sponsored Programs in advance of submission if the proposed research involves collaboration with another institution for research involving experimental animals. Additional approvals may be required.
   ii. Bringing live animals onto the College campus for research purposes is prohibited.

5. Intellectual Property:
   a. The P.I./P.D. shall consult the College Policy on Intellectual Property if the proposed activity involves development of inventions that will involve protection, commercialization, and/or transfer of intellectual property. Additional disclosures and/or approvals may be required at the time of grant submission.
      i. The Office of Research realizes that the proposed activity may involve discoveries that are not planned as part of the proposal, but that the P.I./P.D. may wish to protect at the time of discovery. Additional disclosures and/or approvals are typically not needed at the time of grant submission.

6. Conflict of Interests
   a. Principal Investigators, Program Directors, and Key Personnel are required to file an annual Conflict of Interest Disclosure with the College. This disclosure shall be updated regularly if changes have occurred. The P.I./P.D. shall notify the ORSP of any conflicts that involve the proposed activity prior to submission of the proposal.

5.2 Proposal Transmittal Form
   1. Principal Investigator Responsibility: The P.I./P.D. shall complete and submit a Proposal Transmittal Form prior to submission of the proposal to the Sponsor. The Purpose of the Proposal Transmittal Form is:
      a. To allow the Office of Research & Sponsored Programs to be able to tack submissions
      b. Ensure compliance with federal, state, and College regulations and/or policies
      c. Inform College administrative officials of any commitments that may require their action.

Depending on the type of submission, the P.I. may need to provide documents in addition to the full proposal and budget pages which could include preproposals or letters of intent, progress reports, subaward or subcontract documents, construction or renovations plans, letters of support, etc. ORSP recommends that Principal Investigators allow five business days for routing, review and signatures.

2. Disposition
   a. The Proposal Transmittal Form is submitted to the Office of Research & Sponsored Programs via Qualtrics. ORSP downloads the form along with documents uploaded by the P.I./P.D. and distributes the packet according to the following areas for review. Each area will make determinations as to the involvement of review by their various reporting offices based on the proposed activity.
      i. Administrative Services
         1. Finance & Risk Management (All Proposals)
         2. Human Resources (if applicable)
         3. Information Technology & Facilities (If applicable)
      ii. Office of Research & Sponsored Programs
         1. Research Compliance (All Proposals)
            a. ORSP Policies and Procedures
            b. Human Subjects Research (if applicable)
            c. Research Involving Biohazardous Agents (if applicable)
         2. Research Laboratories (if applicable)
         3. Student Research (if applicable)
      iii. Executive Administration/Office of the Dean
         1. Compliance & Institutional Assessment (All Proposals)
         2. Academic Affairs (if proposal involves curriculum)
            a. Preclinical Education
            b. Clinical Education
            c. Graduate Medical Education
         3. Faculty Affairs (if applicable)
         4. Student Affairs (if applicable)
         5. Diversity and Inclusion (if applicable)
         6. Enrollment Services (if applicable)
         7. Financial Aid (if applicable)
         8. Student Affairs (if applicable)
      iv. Library (if applicable)
   b. Communication of Review Questions and/or Transmittal
      i. Upon receipt of routing sheets from various parties, ORSP will notify the P.I./P.D. and relay any comments or questions that require resolution.
   c. Administrative Approvals Before Submission
      i. A completed Proposal Transmittal Form with all final documents to be submitted shall be routed for signature on an Administrative Approvals/Signature Page.

        ii. Signers
1. Principal Investigator/Program Director
2. Department Chair(s) of Principal & Co-Investigators
3. Controller or Vice-President of Administration/Chief Financial Officer
4. Assistant Dean for Research
5. Chief Academic Officer

   d. Submission
      i. Submission of the final proposal will be done in accordance with the sponsor requirements and may involve:
1. Central submission by the College
   a. Some sponsors require the grant to be submitted directly from the institution. In such instances, the ORSP will work with the Office of Finance to coordinate a process that defines authorized individuals for submission.
2. Submission by the Principal Investigator/Program Director
   a. Some sponsors employ a direct submission process whereby the P.I./P.D. submits the proposal. Submission via this route can occur only after ORSP notification.

      ii. The P.I./P.D. shall upload a copy of the final submission with all supporting documents onto the MS Teams channel as a single PDF file or portfolio.

5.3   Post-Submission Notifications
1. The P.I./P.D. shall notify the Office of Research regarding the outcome of grant review regardless of the outcome.
   a. Proposal not approved or not funded
      i. The P.I./P.D. notifies the ORSP and uploads the decision letter/correspondence to the MS Teams Channel.
         1. ORSP communicates the decision information as needed.
   b. Proposal approved and funded
      i. The P.I./P.D. notifies the ORSP and uploads the decision letter/correspondence along with approved budget information into the MS Teams channel.
         1. ORSP works with the P.I./P.D. and Office of Finance to establish research accounts.

6. Reports/Charts/Forms/Attachments/Cross References

Identify if any reports are required to include data elements.

Notification of Intent to Apply for Extramural Funding

Proposal Transmittal Form

7. Maintenance

Identify if the organizational unit/staff who developed the procedure; when it will be reviewed and updated.

The Office of Research & Sponsored Programs along with Administrative Services and the Executive Administration/Office of the Dean will review the policy no less than annually.

8. Signature

Signature on File	12.6.2021
Assistant Dean for Research	Date

9. Distribution List

Internal/External

10. Revision History

Revision Date	Subsection #	Summary of Changes	New/Cancellation/ Replacement Procedure? (if applicable)	Approval Date
1	[e.g., 3.1]			
	5	Updated Links		12.6.2021