

# BURRELL COLLEGE OF OSTEOPATHIC MEDICINE

## STANDARD OPERATING PROCEDURES

<b>Sponsored Project Submission Process</b>	<b>RSP.020.03</b>
Effective Date	4.1.2021
Last Revision/Review	11/30/2021, 12/16/2022, 4/1/2023, 5/31/24

### 1. Purpose

This document establishes procedure regarding the steps that a Principal Investigators [PI] shall take when submitting a grant application.

### 2. Related Policy/Authority

Policy B8110 Sponsored Project Proposal Development and Submission

Policy B8120 Sponsored Project Award Acceptance

Policy B3050 Federal Funds Compliance

Policy B3070 Cost Principles for Federal Awards

### 3. Faculty/Staff Responsibilities

Principal Investigator[PI]

Office of Research and Sponsored Programs [ORSP]

Finance

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.

**Principal Investigator[PI]** means every possible title that holds program authority: Principal Investigator, Program Director, Program Manager, Program Liaison, etc. These individual(s) are 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.

**Project Management Team [PMT]** means, representatives of the following three functions: Program Principal Investigator[PI], Compliance (Office of Research and Sponsored Programs [ORSP]), and Financial Control (Finance Office).

**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

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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 PI is responsible for:
1. The PI 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 PI
    - 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.
    - g. Purpose of proposal
    - h. Location where work will be performed
  2. The Project Management Team [PMT] will call a meeting and review the submitted intent to determine whether the grant should be further developed and submitted. The determination will be made based on the criteria of the Burrell grants matrix, policies, and sponsor requirements. Areas that may be considered include alignment with the College mission, location, research infrastructure, expertise of the PI, as well as available time and effort of key personnel on the project. A decision on whether to proceed with the development and submission of a full proposal will be rendered and communicated to the proposed PI via grants@burrell.edu as soon as possible, typically within five (5) business days.
  3. Preparation of the proposal in accordance with the Funding Program Request for Proposals. The PMT is a resource in all of these duties:
    - a. The PI is responsible for the project proposal content
    - b. The PI 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)

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- a. The PI shall contact the Finance Office 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. An allowable indirect cost of 10% de minimis rate will be used as defined in Policy B3070.
  - c. Facilities and Equipment Costs: The following areas require that the PI. 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 PI 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 PI. 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 PI. 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 PI. shall notify the IRB if the sponsor allows Just-in-Time approval of human subject research. A letter from the IRB chair may be required by the sponsor.
  - b. Biohazardous Agents and Recombinant DNA:
    - i. The PI. 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 PI. 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 the College facilities and shall result in denial of a grant submission.
  - c. Radioactive Materials:
    - i. The use of Radioactive Materials is prohibited in the 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 PI shall contact ORSP 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 PI 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 PI. 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. PI's 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 PI shall notify the ORSP of any conflicts that involve the proposed activity prior to submission of the proposal.

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1. PI Responsibility: The PI 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 ORSP 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 PI 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 PI's allow five business days for routing, review and signatures.

2. Disposition
  - a. The Proposal Transmittal Form is submitted to the ORSP via Qualtrics. ORSP downloads the form along with documents uploaded by the PI and distributes the packet via [grants@burrell.edu](mailto:grants@burrell.edu) 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. 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. Library (if applicable)
  - b. Communication of Review Questions and/or Transmittal

- i. Upon receipt of routing sheets from various parties, ORSP will notify the PI 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 via Adobe Sign Administrative Approvals/Signature Page.
    - ii. Signers
      - 1. Principal Investigator
      - 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 PI to coordinate a process that defines authorized individuals for submission.
      - 2. Submission by the PI
    - ii. Some sponsors employ a direct submission process whereby the PI submits the proposal. Submission via this route can occur only after ORSP notification. The PI shall email a copy of the final submission with all supporting documents to [grants@burrell.edu](mailto:grants@burrell.edu) as a single PDF file or portfolio.

### 5.3 Post-Submission Notifications

- 1. The PI shall notify ORSP via [grants@burrell.edu](mailto:grants@burrell.edu) regarding the outcome of grant review regardless of the outcome.
  - a. Proposal not approved or not funded
    - i. The PI notifies the ORSP via [grants@burrell.edu](mailto:grants@burrell.edu) and attaches to the email the decision letter/correspondence.
      - 1. ORSP communicates via [grants@burrell.edu](mailto:grants@burrell.edu) the decision information as needed.
  - b. Proposal approved and funded
    - i. The PI notifies the ORSP via [grants@burrell.edu](mailto:grants@burrell.edu) and attaches to the email the decision letter/correspondence along with approved budget information.
      - 1. The PMT works together to establish project accounts and manage the funded grant.

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

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Identify if any reports are required to include data elements.

[Notification of Intent to Apply for Extramural Funding](#)

[Proposal Transmittal Form](#)

### 7. Maintenance

ORSP will review the policy no less than annually.

### 8. Signature

Signature on File

5.31.2024

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
5.31.2024	All	Updated titles and grammar/style changes		6.5.2024
06.24.2024	All	Procedure updates		6.25.2024