

BURRELL COLLEGE *of* HEALTH SCIENCES

Office of Research & Sponsored Programs

Sponsored Projects and Grant Administration Handbook

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The Office Research & Sponsored Programs
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BURRELL COLLEGE *of* HEALTH SCIENCES

Table of Contents

<u>SECTION 1: GETTING STARTED.....</u>	<u>4</u>
1.1: Understanding Sponsored Projects.....	4
Definition of Sponsored Projects.....	4
Definition of Gift vs Grant.....	4
Sponsored Projects – Roles and Responsibilities.....	4
1.2: Grants Administration at Burrell.....	6
Finance-Grants Accounting.....	6
Office of Research and Sponsored Projects (ORSP).....	7
1.3: Searching for Opportunities.....	7
Internal Funding Opportunity for Faculty.....	7
Search Tools.....	7
Help with Finding Funding.....	8
<u>SECTION 2: PROPOSAL PREPARATION.....</u>	<u>8</u>
2.1: Proposal Development Timeline.....	8
2.2: Obtaining Preliminary Approval.....	8
Preliminary Approval Form.....	8
Preliminary Approval Routing Process.....	8
2.3: Writing the Proposal.....	9
Review Call for Proposal.....	9
Develop Proposal.....	9
Overview of Basic Elements of a Proposal.....	10
Proposal Writing and Editing Assistance.....	11
2.4: Developing the Budget.....	11
OMB Uniform Guidance for Sponsored Project Support.....	11
Common Proposal Budget Categories.....	11
<u>SECTION 3: PROPOSAL REVIEW, APPROVAL, and SUBMISSION.....</u>	<u>14</u>
3.1: Internal Proposal Submission Process.....	14
Final Grant Proposal Approval Form.....	14
Authorization to Submit Proposal.....	14

BURRELL COLLEGE *of* HEALTH SCIENCES

SECTION 4: REGULATORY REUIREMENTS and RESEARCH COMPLIANCE.....14

4.1: Financial Conflict of Interest.....	14
4.2: Human Subjects Research.....	15
4.3: Animal Care and Use.....	15
4.4: Laboratory Safety.....	15
4.5: Export Controls.....	16
4.6: Responsible Conduct of Research.....	16
4.7: Misconduct in Research.....	17
4.8: Intellectual Property.....	17

SECTION 5: AWARD ADMINISTRATION.....17

5.1: Award Acceptance.....	17
5.2: Award Set-Up.....	18
5.3: Purchasing Procedures.....	18
PI/PD Research Order Request	
Research Subject Compensation Request	
5.4: Grant Supported Travel.....	19
5.5: Budget Revision Requests.....	19
5.6: Initiating No Cost Extension.....	19
5.7: Documenting Cost Share.....	19
5.8: Monitoring Expenditures.....	20
5.9: Overseeing Subcontracts.....	20
5.10: Hiring and Appointments.....	20
5.11: Time and Effort Reporting.....	20
5.12: Absence of or Change of PI.....	20
5.13: Chane in Scope of Work or Amount of PI/PD Effort.....	20
5.14: Financial and Technical Reporting.....	20
5.15: Project Close-Out Process.....	21

SECTION 6: AUDITS.....21

6.1: Audit Requirements.....	21
6.2: Documentation and Record Retentions.....	21

SECTION 7: Appendices.....22

Appendix A:

BURRELL COLLEGE *of* HEALTH SCIENCES

SECTION 1: GETTING STARTED

1.1: Understanding Sponsored Projects

Definition of Sponsored Projects

A sponsored project is a program or activity that is fully funded, or sponsored, by an external organization or agency at the federal, state, educational institution, local or private level to support research, instruction, training, service, or other scholarly activities. To be considered a sponsored project, it should meet any of the following criteria:

- The project commits the College to a specific scope of work
- A specific commitment is made regarding the level of personnel effort, deliverables, or milestones
- The project requires that unexpended funds be returned to the sponsor at the end of the project period
- The project involves college cost sharing or F&A recovery

Externally sponsored project awards are made to Burrell College of Health Sciences. Therefore, awards and agreements are commitments of the College. The President and/or Dean have the sole authority to sign sponsored project agreements on behalf of the College. Any work performed by a faculty or staff member of the College under an externally funded project is considered to be work performed for the College.

Definition of Gift vs Grant

A gift is any item of value given to the College by a donor who expects nothing significant of value in return, other than recognition and disposition of the gift in accordance with the donor's wishes. In general gifts do not include a contractual requirement, deliverables, and there is no specified period of performance. Donations are the transfer of equipment, money, goods, services, and property with or without specification as to its use. Gifts and donations are sometimes used interchangeably.

Sponsored Projects - Roles and Responsibilities

Submitting proposals, executing awards, conducting sponsored projects, and administering awards involves many different people and units throughout the College. The matrix below outlines the **roles and responsibilities** for the major activities throughout the life cycle of a sponsored award.

BURRELL COLLEGE *of* HEALTH SCIENCES

Key: **PI/PD** – Principal Investigator/Project Director; **ORSP** – Office of Research & Sponsored Programs; **FI** – Finance
Roles and Responsibilities

Proposal Development & Submission	PI/PD	ORSP	FI	Other
Search for Funding Opportunities	X			
Provide guidance on funding opportunities		X		
Submit Intent to Apply for Extramural Funding	X			
Develop proposal budget	X	X		
If applicable - Identify need for cost sharing funds and obtain documentation for cost share	X			X
If applicable - Identify subcontractors and request budget and statement of work.	X	X		
Develop technical content of proposal	X			
Provide guidance on proposal preparation and editorial assistance		X		
Prepare proposal elements for submission	X			
Submit to ORSP Final Grant Proposal with Proposal Transmittal Form	X			
Review proposal to ensure sponsor guidelines are allowed; completeness		X		
Review final proposal budget			X	
Review proposal for institutional/federal compliance		X	X	
Route Proposal Transmittal Form for Signatures		X		
Submit Proposal Application				X - AOR
Maintain proposal submission files for internal reporting	X	X		

Regulatory Compliance	PI/PD	ORSP	FI	Other
Complete needed compliance submissions: IRB, Financial Conflict of Interest Disclosures, etc.	X			

BURRELL COLLEGE *of* HEALTH SCIENCES

Provide institutional oversight and facilitation of compliance issues		X		
Coordinate training on relevant compliance areas and policies		X		
Ensure approvals for compliance requirements are current throughout the life of the project	X	X		

Post-Award Management	PI/PD	ORSP	FI	Other
Review and negotiate award terms and conditions		X	X	President & Dean
Accept award terms and conditions & execute award on behalf of Burrell College				President & Dean
Establish award account			X	
Prepare financial transactions	X			
Review and approve financial transactions		X	X	
Initiate -re-budgeting requests	X			
Obtain sponsor approval of re-budgeting requests, where required	X	X		
Submit no cost extension requests to sponsor		X		
Monitor expenditures monthly	X	X	X	
If applicable - Ensure that cost share is documented	X	X	X	
Oversee scientific and programmatic aspects of project, including work of sub-awardees	X			
Complete effort certification	X			
Maintain effort certification documentation			X	
Prepare and submit technical reports to the sponsor	X			
Prepare and submit financial reports to the sponsor		X	X	
Provide close out schedule		X		
Ensure all financial transactions are complete	X		X	

BURRELL COLLEGE of HEALTH SCIENCES

1.2: Grants Administration Offices at Burrell

Finance-Grants Accounting

The Finance-Grants Accounting Team is comprised of a member of Finance and the Director of ORSP Administration and is responsible for ensuring that externally funded programs are managed in accordance with the grantor's requirements. The Grants Accounting Team must approve all transactions (i.e., Purchase Requisitions, salary contracts, Budget Revision Forms, etc.) prior to submitting them for processing to ensure that adequate funds are available and that expenditures are allowable under the grant. Please allow two (2) business days for approval of transactions.

The Grants Accounting Team also ensures that all federal, state, local and College financial reporting requirements are met. All financial reports must be based upon official College records prepared by the Grants Accounting Team and approved by the Controller prior to submitting them to the grantor.

Office of Research and Sponsored Programs

The Office of Research and Sponsored Programs (ORSP) is responsible for the promotion and support of scholarship and creative activity.

The ORSP provides a variety of support services and oversight for research compliance, funding, and engagement, including:

- Research-related College policy and procedure development
- Administration of the College's human research protection program and Institutional Review Board (IRB)
- Research compliance training
- Clinical trials registration
- Review of compliance with reporting requirements and regulatory oversight of sponsored projects
- Management of internal research funding for faculty and students
- Assistance with external funding searches
- Grant writing and grants management assistance
- Sponsored projects coordination
- Organization of Distinction in Research and Summer Research Experience for Medical Students
- Organization of Distinguished Researcher Seminar Series

1.3: Searching for Opportunities

Several resources are available for faculty, staff and students who are seeking support for research and other projects, including an internal opportunity, grants databases and assistance with funding searches.

Internal Funding Opportunity for Faculty

Faculty Research Support Fund: This fund is provided by ORSP to encourage faculty to develop innovative projects leading to the pursuit of extramural funding.

Search tools

Here are some suggested avenues that can be utilized to find funding.

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- o Colleagues/Listserve
- o Specific Agency/Sponsor Websites
- o State and local government websites
- o Federal Register
- o Grants.gov
- o Foundation Directory Online
- o Private: <https://proposalcentral.com>

Help with Finding Funding

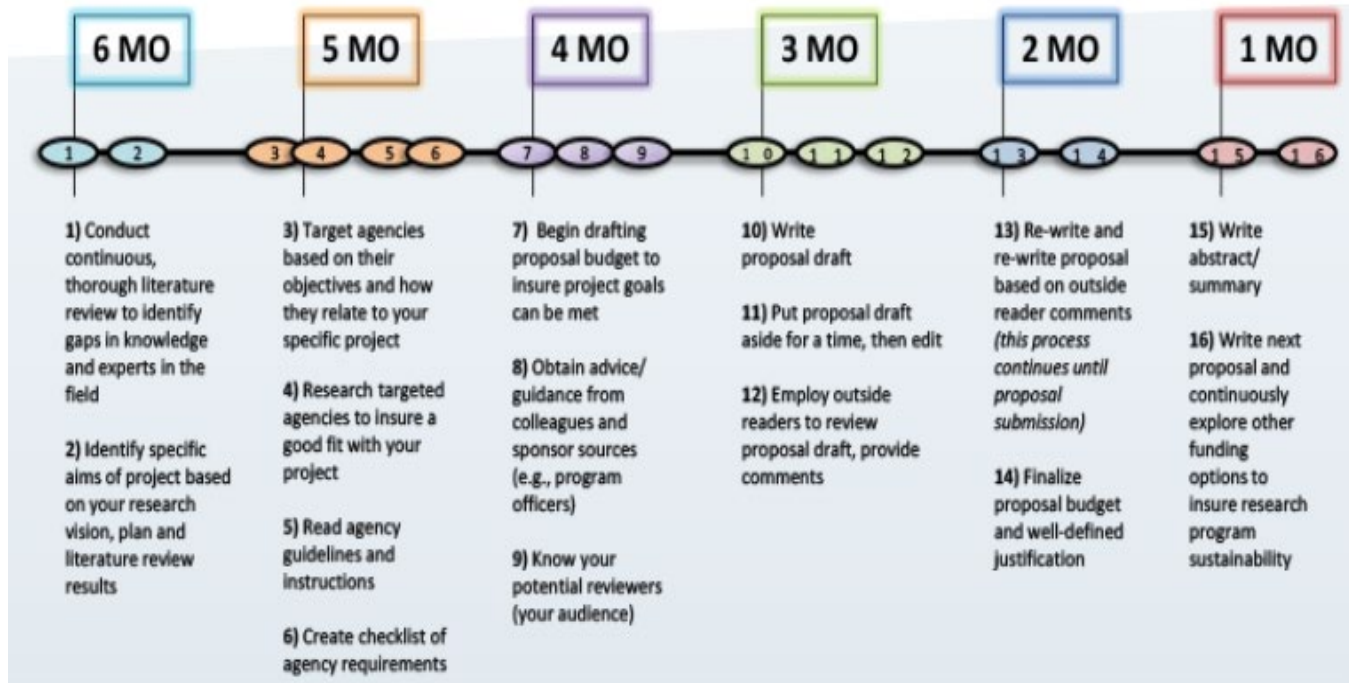
ORSP can assist with searching for funds. Prior to seeking assistance, researchers or principal investigators should have a topic and focus to ensure that funding searchers are within the scope of the PI/PD's research area of interest.

SECTION 2: PROPOSAL PREPARATION

2.1: Proposal Development Timeline

The following is a suggested timeline for a well-planned proposal submission.

Proposal Development Timeline (courtesy of University of Colorado)



BURRELL COLLEGE of HEALTH SCIENCES

2.2: Obtaining Preliminary Approval

Preliminary Approval Form

Before beginning work on a proposal, the Principal Investigator/Project Director must complete and submit an [Intent to Apply for Extramural Funding form](#).

The purpose of this form and approval is to ensure that supervisors are aware that the PI/PD is undertaking a project that may affect the time, roles and responsibilities of the PI/PD, and that the appropriate senior administrators are aware of projects that involve College impacts. The form is also used to alert the relevant offices that a grant proposal is being planned and to facilitate College coordination in support of the project.

Preliminary Approval Routing Process

The notification form will be received by the Burrell College Project Management Team (PMT). The PMT will review the notification. A decision on whether to proceed with the development and submission of a full proposal will be rendered and communicated to the proposed PI/PD via grants@burrell.edu as soon as possible, typically within five (5) business days.

2.3: Writing the Proposal

Review Call for Proposal: (i.e., request for proposal, grant solicitation) and sponsor guidelines for submission.

Evaluate: Consider the program description and assess whether this opportunity is the right fit for your project. Ensure that Burrell and you are eligible to apply for the opportunity.

Research: Print out the RFP and read carefully. Pay attention to award information and review process and note any special requirements.

Plan: Plan using proposal preparation instructions AND proposal guide.

Draft: A well-written, well-formatted application is key to your success.

General Grant Writing Tips

1. Make your project's goals realistic and clear
2. Be organized
3. Write in clear, concise language
4. Your reviewers are your primary audience
5. Edit yourself
6. Enlist, help, share for comments

Respond: Follow agency guidelines and Burrell policies for submission.

Develop Proposal

The success of proposals depends largely on how well you know your potential funder and on how effectively you match your project to what's important for them (**values**); what they say they stand for (**mission**); and their sense of what the future should be (**vision**). In addition to doing a little "homework", the RFP provides much of this information.

BURRELL COLLEGE *of* HEALTH SCIENCES

- Consider updating your SciENCv (normally federal applications only) as they are required to accompany the grant application.
- Contact the program director at the sponsoring agency, if appropriate. This person will become invaluable resource to you while you draft the project narrative. On federal grants, the sooner you can contact this individual, the better chance your grant application has at being competitive; ideally, contact the program director three (3) months before the submission deadline at least. You may also ask if the sponsor agency has scheduled webinars or conference calls for potential applicants. These informative sessions are particularly helpful to investigators as they prepare grant applications. The ORSP grants email, grants@burrell.edu should be copied on email communication to expedite the sharing of information.
- If your project will involve human subjects advance planning is required. Contact the Burrell IRB at irb@burrell.edu to complete and submit IRB protocols to receive requisite approvals prior to submission.
- If the project will involve biohazardous agents and/or recombinant DNA, or radioactive materials reference the Institutional Biosafety Committee (IBC) manual to complete and submit required approvals prior to submission. Questions on IBC can be directed to research@burrell.edu.

Overview of Basic Elements of a Proposal

A proposal is an application for funding that contains all the information necessary to describe a project's plans, staff capabilities, and the funds requested. Most funding agencies have specific guidelines and requirements for the content and formatting of proposals. The sponsor's guidelines should be strictly followed. A good, fundable proposal should start with a strong concept; have goals and objectives that are clear and understandable; be readable, well-organized, and grammatically correct; have a realistic budget that reflects the project goals; and be responsive to the sponsor's mission and interests. Although specific requirements vary, proposals may include many or all the basic elements described below.

Application Cover Page

The application cover page typically includes the most important identifying information for the proposal as well as the signature of the college official who is authorized to submit funding requests. Most sponsors require use of a standardized form. If the sponsor does not require a specific form for the cover page, a cover letter should be included with the application. The letter should contain the following information: the project title, the PI/PD's name and contact information, the applicable name of the agency program, the project's beginning and ending dates, the total budget request, and the college authorized official's name, contact information, and signature.

Abstract

The abstract provides an overall summary of the proposed project, including the major goals and objectives of the project, the methods to be used, and the expected outcomes. The abstract should be concise and compelling, as it is often the document that reviewers see first. The abstract is often used to assign the proposal to the appropriate review section and may be publicly shared if the project is funded.

Project Description

The Project Description is commonly known as the Research Plan, Statement of Work, or Scope of Work. This document is a detailed narrative of the project and typically includes clear and complete descriptions of the

BURRELL COLLEGE of HEALTH SCIENCES

background and significance, goals and objectives, strategy and methodology, activities, and timeline, and expected outcomes or impacts. It should include sufficient information to evaluate the project.

Budget and Budget Justification

A detailed budget listing all costs to be requested from the sponsor must be prepared for all proposals and must follow the sponsor's guidelines, Burrell financial policies, and applicable federal cost policies. A proposal budget usually consists of two parts: a budget worksheet and a narrative budget description, also known as the budget justification. The budget should be realistic and fully support the technical narrative. See Section 2.4 for more detailed budgeting guidance.

Biographical Sketch

A biographical sketch is a condensed version of a project personnel's curriculum vitae (CV). It is typically required of all key personnel named on the proposal. It is important to note that a complete CV is almost never allowed in proposals. Funding agencies impose specific page limits and restrict the amount and type of information to be included. The biographical sketch should include the publications, experiences, and other key information that is most relevant to the proposed project.

Current and Pending Support

The current and pending support document lists sources of present funding as well as proposals submitted that are pending a funding decision. Some sponsors require a version of this document for all key personnel named on the proposal. The information requested usually includes the funding source, project title, project start and end dates, total amount funded or requested, and the percentage effort devoted to the project.

Facilities, Equipment, and Resources

This section of the proposal identifies and describes the facilities, equipment, and other resources already available at the institution to carry out the proposed project, including laboratory and office space, specialized equipment, college resources, and support services. If the project will be carried out at multiple sites, then resources available at each site should be described.

Proposal Writing and Editing Assistance

The PI/PD, as the technical expert, is ultimately responsible for writing the bulk of the proposal. ORSP is available to provide editorial assistance by request. ORSP can also provide guidance on reading guidelines and RFPs and writing a strong and competitive proposal narrative and budget, review drafts in development, and offer recommendations.

2.4: Developing the Budget

OMB Uniform Guidance for Sponsored Project Support

The OMB Uniform Guidance (Subpart E-Cost Principles) outlines and explains the general accounting rules for institutions of higher learning. The college is required to follow OMB's guidance when determining whether to charge a cost to any grant, contract, or other sponsored project. Allowable use and cost principles of Federal Funds can be found in Burrell Policy B3070 and SOP #: FIN.023. The following cost principles define the kind of costs that may be charged to a sponsored project:

BURRELL COLLEGE of HEALTH SCIENCES

- **Reasonableness:** A cost is reasonable if in its nature and amount, it does not exceed that which a reasonable person would pay in the same or similar circumstances for the same item.
- **Allocability:** A cost is allocable to a particular award if the goods or services involved benefit the grant or contract that is being charged.
- **Consistency:** A cost is consistent when it is treated in a like matter under the same circumstances. In sponsored projects costs must be paid as either direct costs or indirect costs but cannot fall into both categories.
- **Allowability:** A cost is allowable if it is not prohibited by law, regulation, or the terms of a specific award. Allowable costs are defined by sponsors in their award terms.

Common Proposal Budget Categories

The budget is used to identify the project costs to the sponsor. Budget requirements vary by sponsor and type of award, and most sponsors use specific templates. Check the sponsor guidelines for any required forms.

Below are some questions to help guide in the creation of the budget:

- Who will be working on the project?
 - What percentage of time and effort will be contributed?
 - Determine fringe benefits rates
 - Determine salary percentage
- Will there be any domestic/foreign travel for the project?
 - Destination
 - Reason
 - Dates
 - Cost of trip (lodging, transportation, meals, fees, etc.)
- Will equipment be required to complete the project?
- Will there be any materials needed to complete the project?
 - Examples: software, books, etc.
- Will you be collaborating with anyone outside of the college?
 - Contractor
 - Subrecipient
 - Consultant
- Will there be any other direct costs to the project?
 - Examples: Human subjects incentives, etc.

For assistance with developing the budget, contact ORSP at grants@burrell.edu. A sample budget template can be used to develop the budget internally, although the sponsor's budget forms must be used for the final proposal submission. The most common proposal budget categories are summarized below.

Salaries and Wages

Salaries and wages should be budgeted as the percentage of effort to be devoted to the project. Proposed salaries must be in accordance with current College approved rates. Faculty members budgeting salaries on grants should consult the SOP#: FIN.023 Concerning Salaries Funded by Grants.

BURRELL COLLEGE of HEALTH SCIENCES

Fringe benefits

Fringe benefits should be budgeted whenever salary support is requested. Fringe benefits include such items as health insurance, retirement benefits, Social Security, and Medicare. These costs are calculated as a percentage of the salaries and wages to be paid and are a direct cost to a sponsored project. Contact the SPA Specialist for assistance on the current rate.

Travel

Whenever possible, list the destination and purpose of each trip, and a breakdown of costs, including airfare, mileage, accommodation, and local travel. Include any required travel specified in program solicitation. While it is not always possible to specify all travel costs in advance, it is important to be as specific as possible and explain how travel is necessary for the conduct and/or dissemination of the project.

Grant travel costs under SOP #: FIN.023 will be limited to expenses for transportation, lodging, meals and related items incurred by employees traveling on approved official business of the College. Expenses will be charged on an actual cost basis in compliance with SOP FIN.018. Foreign air travel will be limited to domestic flag air carriers.

Equipment

Equipment is defined as items of durable value at or exceeding \$5,000 per unit. See funding agency guidelines for more specific definitions and/or restrictions. Burrell SOP #: FIN.027 provides the procedures for sponsor-funded property and equipment.

The budget should list the requested equipment, including specific names, and as necessary, model numbers, price quotes, and price quote source. In the budget justification explain why the equipment is necessary to the project and how it will be used.

Equipment purchased with sponsored project funds usually becomes the property of the College. It must be placed on inventory and the department accountable for the equipment.

Supplies

Be careful when including costs that are normally considered indirect costs in this category, such as office supplies, telephone charges, and printing and photocopying. Usually, costs can only be charged directly to a grant if they can be specifically identified with the funded project. If these costs are essential to the conduct of the project and will be used solely for the project, they may be budgeted with proper identification.

Contractual

A proposed sponsored project may include relationships with *contractors, consultants, and/or subrecipients*. It is very important to determine the appropriate type of contractual relationship with any outside entities included on the budget at the pre-award stage so that costs may be calculated accurately. ORSP can assist with this determination.

Consultants

Consultant services are rendered by persons who are members of a particular profession or possess a certain skill, and who are not employees of the proposing organization. The services provided should be justified with details on the individual's expertise, primary organizational affiliation, normal daily compensation rate, number of days

BURRELL COLLEGE *of* HEALTH SCIENCES

of expected service, and travel costs, if any. Consultants are normally paid through a Professional Services Agreement.

Contractors

Contractors provide goods or services within routine business operations and operate in a competitive environment providing similar goods and services to a variety of customers. A quote for the contracted goods and/or services should be obtained and included in the budget. Contractors are normally paid through a Purchase Order.

Subrecipients

Subrecipients carry out a programmatically significant aspect of the award. Unlike contractors and consultants, subrecipients are responsible for adhering to applicable program compliance requirements specified in the award terms and conditions. Sub-award costs should be included in the budget when a portion of the project work is transferred to another institution, organization, or entity which has responsibility for programmatic decision making. For any subrecipient included in the proposed budget, the following information must be obtained and routed with the proposal: a statement of work, detailed budget, budget justification, and a letter of intent signed by an authorized official.

The total cost of the sub-award (both direct and indirect costs) must be listed as a single cost item on the Burrell budget. If multiple sub-awards are anticipated, the sum of all sub-award total costs should be listed.

Other direct costs

Other costs that can be directly attributed to the proposed project.

Indirect Costs

Indirect costs, also called Overhead or Facilities and Administrative Costs (F&A), are defined as costs that are not readily identifiable with individual projects. These indirect costs include building space, utilities, library services, janitorial service, accounting, purchasing, and other administrative services. Applications to sponsors must include a request for reimbursement of indirect costs at the rate the sponsor allows.

Cost sharing and in-kind matching

If College cost sharing or in-kind matching is required, it is important that commitments of matching funds are discussed with and approved in advance. Procedural steps for cost sharing and matching is found under Burrell SOP #: FIN.024

No unauthorized obligations are to be assumed by Burrell

Grant applications requiring a commitment of matching funds by the college by inference letter, or any other means must be included in the transmittal form package reviewed and approved prior to submission.

BURRELL COLLEGE of HEALTH SCIENCES

Section 3: PROPOSAL, APPROVAL, and SUBMISSION

3.1: Internal Proposal Submission Process

Final Grant Proposal Approval Form

ORSP must receive all relevant materials and the **Proposal Transmittal Form** for your grant proposal at a minimum of **5 business days** prior to sponsor submission deadline to grants@burrell.edu. This will allow for a complete administrative review. ORSP will do the following for all submissions that adhere to the submission procedures:

- Ensure all specifications of sponsor/funding agency are adhered to and applied to the grant package.
- Attach and complete all required College administrative forms.
- Facilitate all administrative approvals as required.
- The completed Proposal Transmittal Form with all final documents to be submitted will be routed for signature via Adobe Sign to the following for approval
 - Principal Investigator
 - Department Chair(s) of Principal and Co-Investigators
 - Controller
 - Assistant Dean for Research
 - Dean/Chief Academic Officer
 -

Authorization to Submit Proposal

ORSP and/or Authorized Official Representative (AOR) will submit the grant application per the specifications of the sponsor or funding agency. Approval can be given to the PI/PD if agency guidelines specify PI/PD is to submit.

The PI/PD and ORSP will keep the file copies of all applications and relevant associated materials.

Section 4: REGULATORY REQUIREMENTS and RESEARCH COMPLIANCE

4.1: Financial Conflict of Interest

All employees of Burrell College of Health Sciences, consistent with policy B1041 and SOP #: HR.021 may not have a financial conflict of interest, direct or indirect, in any contract with Burrell. Furthermore, federal regulations require investigators engaged in PHS and NSF funded research to disclose the existence of certain financial interests and require the College to review those disclosures, determine whether any potential conflicts of interest may exist, and establish mechanisms to manage, reduce, or eliminate such conflicts of interest. The Burrell conflict of interest form is signed yearly and recorded and stored with Human Resources.

Each investigator who is planning to participate in PHS, NSF, or other applicable agency funded research must review and update their Form if needed at the time of proposal submission. Each investigator who is participating in PHS, NSF, or other applicable agency funded research must submit an updated disclosure of significant financial interests within thirty days of discovering or acquiring a new significant financial interest. For all other funding agencies that require disclosure of Significant Financial Interests, disclosure shall be in accordance with sponsor requirements.

4.2: Human Subjects Research

The Burrell Institutional Review Board (IRB) is the review board that has sole authority to review and approve human subject research conducted by Burrell PI/PDs and students and may serve outside entities under

BURRELL COLLEGE of HEALTH SCIENCES

contractual agreement. The ORSP provides administrative support to the College's IRB. The IRB ensures the College is following federal, state, local, and college regulations regarding human subjects' research.

Funding proposals for projects involving the use of human subjects are reviewed before submission by ORSP to ensure compliance with policy B8530 and applicable regulations. IRB approval is usually not required at the time of proposal submission. IRB approval for projects involving human subjects research is usually required before an award can be made, and funds can be expended.

Human Subjects Research and IRB approval processes can be found under Burrell SOP #: RSP.009 and at; <https://burrell.edu/research/irb/>

4.3: Animal Care and Use

Burrell College of Health Sciences does not currently have animal research facilities. Burrell researchers planning to submit a proposal for projects involving the use of vertebrate animals in field or laboratory activities must identify a collaborating institution with the appropriate animal facilities and an active PHS-approved Animal Welfare Assurance. If awarded, an Interinstitutional Assurance will be negotiated with the collaborating institution and the animal work must be reviewed and approved by the institution's Institutional Animal Care and Use Committee (IACUC) before the award can be accepted and before carrying out any activities involving live vertebrate animals. In this situation, the Burrell researcher(s) will conduct the animal activity at the Assured institution (named as a performance site).

Funding proposals for projects involving the use of animals are reviewed before submission by ORSP to ensure compliance with applicable regulations. All Institutional Assurances for activities involving live vertebrate animals must be coordinated through ORSP.

4.4 Laboratory Safety:

ORSP provides research-related health and safety training courses that help those conducting research at Burrell to comply with internal and external sponsor requirements and reduce risk. ORSP offers online and in-person training and provides guides to help research participants identify classes appropriate for their work.

The Burrell Institutional Biosafety Committee (IBC) has the institutional responsibility for work by Burrell researchers involving biohazardous agents, recombinant or synthetic nucleic acid molecules, and hazardous chemicals. Burrell is committed to providing a quality biosafety program that complies with local, State and Federal regulations and protects the health and safety of users, the college population, the community and the environment.

The PI/PD must ensure that all research participants receive general and job-specific training prior to initial or new job assignments. In addition, training is required:

- Whenever new substances, processes, procedures or equipment are introduced to the workplace, which may create new hazards.
- When new or previously unrecognized hazards are introduced into the environment or brought to a supervisor's attention.
- When a researcher cannot demonstrate adequate understanding of the safety requirements of a task.

BURRELL COLLEGE of HEALTH SCIENCES

PI/PDs will ensure that all researchers under their supervision have received the appropriate training necessary to participate in research. The PI/PD will assist students in determining the required training and will maintain Certificate of Completion copies of all researchers under their supervision. Copies shall be retained for the duration of the researcher's time at Burrell for 3 years from separation from the institution.

IBC and training course selection guide and information can be found at the Burrell Research website.

<https://burrell.edu/research/orsp-training-requirements-information/>

4.5: Export Controls

The Department of Commerce's Export Administration Regulations (EAR) and the Department of State's International Traffic in Arms Regulations (ITAR) prohibit the export of specific unlicensed technologies for reasons of national security or protection of trade.

A project might be subject to export controls if it involves: shipping items internationally; traveling outside the United States; foreign national collaborators; contractual restrictions; proprietary information; military or space related information, technical data, equipment or software; subjects related to nuclear, chemical, biological, weaponry, missiles, or unmanned vehicle technologies; encryption technology; or research with select agents or other pathogens.

If College research is controlled under EAR or ITAR, the College may be obligated to obtain a license from the Department of Commerce or the Department of State in order for foreign nationals to participate in the research to be conducted in cooperation with a foreign company or foreign colleagues, research equipment to be sent to foreign countries, or research to be shared – either verbally, visually, or in writing – with persons who are non-United States citizens or permanent resident aliens.

The College is responsible for assisting the PI in assessing the application of export control regulations, however, the primary responsibility for compliance rests with the PI.

Funding proposals for projects involving export-controlled data, materials, and/or equipment are reviewed by IBC and ORSP before submission to ensure compliance with applicable regulations.

4.6: Responsible Conduct of Research

All faculty, staff, and students engaged in research at Burrell are held to the highest standards for ethical conduct and are expected to maintain standards of intellectual honesty in the formulation, conduct, and reporting of research, policy B8010. Responsible conduct of research (RCR) is defined as “the practice of scientific investigation with integrity.” It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research.

Burrell RCR program employs a combination of online training via the Collaborative Institutional Training Initiative (CITI) and face-to-face to help faculty and medical students develop meaningful understanding for the ethical practice of research.

BURRELL COLLEGE *of* HEALTH SCIENCES

The Burrell RCR program incorporates the following topics as part of the College educational RCR training:

1. Planning Research

- Protection of Human Subjects
- Biosafety, Biohazardous Agents, and Recombinant DNA
- Conflicts of Interest

2. Conducting Research

- Data Management Practices
- Mentor and Trainee Responsibilities
- Collaborative Research

3. Reporting and Reviewing Research

- Authorship and Publication
- Peer Review

4. Research Misconduct

- Fabrication
- Falsification
- Plagiarism

Funding proposals are reviewed by ORSP to ensure compliance with applicable Responsible Conduct of Research regulations. Upon award, the ORSP Compliance Specialist communicates RCR training requirements to the PI and monitors compliance with such requirements throughout the award period.

4.7: Misconduct in Science

Misconduct in science means fabrication, falsification, plagiarism, or other practices that materially deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest errors or honest differences in interpretations or judgements of data.

Research Misconduct Proceedings can be found under Burrell SOP #: RSP.021

4.8: Intellectual Property

Intellectual property resulting from research supported by a grant or a contract with Burrell is subject to the College's Intellectual Property Policy B8550.

Section 5: AWARD ADMINISTRATION

5.1: Award Acceptance

An award to the College from a sponsoring agency is a document which legally obligates Burrell. An award may be simply in the form of a letter issued by an authorized agent of the sponsor, or it may consist of a lengthy contractual document. The College President or Dean are authorized to accept and execute awards on behalf of Burrell. Any questions or revisions before the award is accepted will be discussed with the Principal Investigator and the Proposal Management Team.

Burrell Policies governing award management of sponsored projects can be found in policies: B3040 Finance Management System

BURRELL COLLEGE of HEALTH SCIENCES

B3050 Federal Funds Compliance

B3060 Federal Funds Procurement Standards

5.2: Award Set-Up

Upon acceptance of a new award, the PI/PD is responsible for setting up an appointment with the PMT to discuss all materials related to the new award. An account will be issued by Finance authorizing the accounts necessary to administer the fiscal aspects of the award. No expenditures may be made prior to this meeting.

5.3: Purchasing Procedures

It is required to follow the College's purchasing guidelines (Burrell SOP #: FIN.016) when procuring goods and services using sponsored funds. Additionally, the PI/PD is required to monitor individual sponsor award terms and conditions to ensure award procurement requirements are noted and followed.

Purchase requisitions on sponsored project accounts will be approved by the SPA Specialist to ensure sponsor award terms and conditions are followed.

PI/PD Research Order Request

ORSP provides support to researchers by processing order requests for items funded by sponsored awards or intramural research funds. Follow the procedure steps below. The steps and downloadable order form can be found at <https://burrell.edu/research/orsp-order-request/>.

STEP 1: Complete Order Form

- Download the ORSP Produce Order Form

STEP 2: Complete Order Form

- Complete the form by filling in ALL requested information. NOTE: A new form is required for each vendor.
- Save the ORSP Product Order Form as an excel file on your computer.
- Press the "Next Step" button located at the bottom of the ORSP Product Order Form. This will take you directly to the form's submission page.

STEP 3: Submit Order Form

- Fill in your name and email address.
- Press "Select File" and select your completed ORSP Product Order Form.
- If you have a quote, you may upload this in addition to the ORSP Product Order Form. Press "Select File" and select your quote.
- Provide an additional information important for processing your order request in the "Additional Comments" section.
- Press "Submit" to submit your order.
- An email confirmation will be sent to you.

Incomplete forms will delay the processing of your order(s).

- For Amazon orders, use the Amazon Standard Identification Number (ASIN) as the catalog number and include page links to the desired items.

BURRELL COLLEGE

of

HEALTH SCIENCES

- If you have a quote that provides a discount, the quote number will be required to receive the discount when placing the order.
- Order requests will be processed in the order received. Please keep in mind that orders with vendors who are not set up with the College's purchasing system may take additional time to process, as we must try to register that vendor to streamline future ordering.
- Order requests with non-U.S. (foreign) vendors may take additional time to process, as we must request the appropriate forms before making payment to a foreign entity.

Research Subject Compensation

Burrell uses an online platform for Research Subject Compensation called eGifter (<https://egifterrewards.com/>) that manages research subject compensation and reporting. It allows the PI to provide a gift card as compensation. eGifter offers both a physical or digital version, but most PI's utilize the digital version for ease of tracking and reporting. The PI will choose the gift card from a selection of many brands. There is a small fee for each card for which this cost will be built into your order form.

The process for eGifter set up is as follows:

1. Submit an ORSP Order Request Form: Instructions and downloadable form can be found at <https://burrell.edu/research/orsp-order-request/>. A sample form can be found in appendix B.
2. Once the order form is received:
 - a. A purchase request will be submitted to Finance to have a PI eGifter account funded.
 - b. A link will be provided to the PI to set up the PI project account within Burrell's eGifter account.
3. A training session via Zoom/Teams will be scheduled for a tutorial of eGifter and reporting requirements.
4. A notification will be sent to the PI when their account is funded and the PI can begin to use the account.

5.4: Grant-Supported Travel

Please refer to the College's Travel and Entertainment SOP #: FIN.018. Travel on sponsored program funds must be approved by the PI/PD, SPA Specialist, and Finance Grants prior to grant funded travel.

5.5: Budget Revision Requests

Budget revisions are allowed based on the agency's guidelines and follow Burrell SOP #: FIN.026. The PI/PD must submit a budget revision request to Finance using the Burrell Budget Revision Form. The PMT will prepare the budget revision based on agency guidelines. The SPA Specialist may assist in obtaining the necessary prior approval from the grantor.

5.6: Initiating No Cost Extension

Most granting agencies require approximately four to six months to process a request for an extension of time with funds. A "no cost" extension can usually be granted if requested at least ten working days before the current expiration date. The SPA Specialist should be contacted to initiate a no cost extension.

5.7: Documenting Cost Share

Any cost sharing must follow Burrell SOP #: FIN.024 to meet with approvals from which cost sharing funds will be drawn before the proposal is submitted. The PI/PD must provide documentation of where the funding is coming from; this can be in the form of a commitment letter. Upon award, the PMT will track cost share funds.

BURRELL COLLEGE of HEALTH SCIENCES

For Federal awards, under OMB Uniform Guidance §200.306, to be considered as cost sharing, an expenditure must meet all the following criteria:

- Be verifiable from the official College records
- Not be used as cost sharing for any other sponsored program
- Be necessary and reasonable for accomplishment of the project or program objectives
- Allowable under the applicable Uniform Guidance cost principles as direct costs
- Be incurred during the effective dates of the grant
- Not paid by the federal government under another award
- Are provided for in the approved budget when required by the federal awarding agency and conform to other provisions of the Uniform Guidance.

5.8: Monitoring Expenditures

Finance distributes monthly Organization Status Reports to the PI/PD by the 15th of each month. Please contact the Finance staff if you have any questions or need additional information. The reports must be reviewed monthly by the PI/PD to ensure expenditures are within the grant guidelines.

5.9: Overseeing Subcontracts

The College is responsible for the programmatic and financial monitoring of its subrecipients (Burrell policy B3080 Federal Subrecipient Award Administration). When a third-party organization will perform a portion of a Burrell sponsored project, the terms of its relations with Burrell will be documented in and governed by a subcontract agreement. Subcontracts which provide substantial programmatic contribution to the project require specific approval from the sponsor.

At the post-award phase, monitoring of subrecipients includes the following:

- The subcontractor must submit an audit letter, any grant audits, and must disclose any audit findings.
- A subcontract agreement will be executed with subrecipients billed monthly
- In accordance with OMB Uniform Guidance §200.331 (b) monitoring includes a risk analysis of subrecipient compliance with Federal statutes, regulations, and the terms and conditions of the subaward.

5.10: Hiring and Appointments

Any positions that will result from the sponsored project must be coordinated through the Human Resources department. Finance reviews and approves all personnel action forms for employees paid on a grant.

5.11: Time and Effort Reporting

Time and Effort Reports must be completed for all individuals with grant-funded salaries under Burrell SOP #: FIN.028. These reports will be sent out by the Director of ORSP Administration monthly for approval signatures.

5.12: Absence of or Change of PI

If a PI/PD plans to be away from the project for more than three months, arrangements for oversight of the project (a substitute PI/PD) should be sent to the agency for approval.

BURRELL COLLEGE of HEALTH SCIENCES

5.13: Change in Scope of Work or Amount of PI/PD Effort

A significant change in scope of work or amount of effort spent on a project by the PI/PD usually requires prior approval by the funding agency. It is recommended that the PI/PD advise the funding agency's program officer, and ORSP of any changes in scope or amount of effort.

5.14: Financial and Technical Reporting

The PI/PD is responsible for regularly monitoring the budget. Every month the PI/PD must review all transactions, especially encumbrances and pending invoices, to settle any unpaid expenses.

The Finance Office will work with the PI/PD to prepare financial reports as required by the grant or contract and file them in a timely manner.

Technical, scientific, and programmatic reports of project performance are the responsibility of the PI/PD.

Copies of all final reports must be submitted to ORSP. The ORSP will maintain files of final reports for college evaluation of sponsored projects activity.

5.15: Project close-out process

In accordance with Burrell SOP #: FIN.030 the PMT will provide a close out schedule to the PI/PD. Finance reviews grant activity with the PI/PD to ensure all transactions have been recorded and all invoices have been paid within the project term.

Finance will prepare the final financial report as required by the grant or contract and files it in a timely manner.

Section 6: AUDITS

6.1: Audit Requirements

The OMB Uniform Guidance Subpart F "Audit Requirements" requires an annual audit of the College financial records. Any federal agency can also audit its awards. These audits tend to be efforts to determine whether Burrell is managing grants and contracts in accordance with federal laws and regulations.

6.2: Documentation and Record Retention

PI/PDs must keep accurate records supporting all sponsored project costs for a minimum of three years after the sponsor accepts the final report. Copies of progress reports, documentation of personnel hired, and time and effort must also be maintained and follow Burrell policy B2090 Records Retention.