



Office of Research and Sponsored Programs

Extramural Funding Policies, Procedures and Application Process

December 1, 2015

I. Introduction

A. General Policy

Rocky Vista University (RVU) is a community of professionals committed to excellence in the education of highly qualified students in osteopathic medicine. Through its commitment to research and service, the University fosters an atmosphere and foundation for supporting the submission for sponsored research projects and other applications to extramural funding sources. The following document sets forth the University's Policy ("Policy") governing the submission of extramural grant applications.

B. Purpose

This Policy defines the role of the Office of Research and Sponsored Programs (ORSP) in supporting the process of acquisition and management of external funding through: recordkeeping, compliance (with granting agency deadlines and regulatory stipulations), technical aspects of grant preparation and submission, assistance with budget preparation and management, assistance with opportunity finding, and the submission process through electronic or written means.

It further provides information for grant seekers in interacting with the ORSP and establishes the process for maximizing the value of this office.

C. Application of Policy

This Policy applies to faculty, adjunct faculty, students, residents, fellows and research staff who participate in the submission of extramural grant applications for programmatic, infrastructure, curriculum development, sponsored research projects and other research activities.

The relevant procedures outlined in this Policy also apply to non-competing renewals, subcontracts (where the University is not the lead institution on the proposal), NIH Clinical Research Student Educational Loan Repayment Proposals and other proposals for funding that do not involve research but must adhere to submission and routing review.

D. Definitions

1. Office of Research and Sponsored Programs: The University office tasked with oversight of sponsored program application process and ongoing sponsored program administration.

2. Research: A scholarly activity defined in the broadest sense possible consistent with the principles of academic freedom. In the interest of providing some guidance for faculty and students, the breadth of research includes [1] the scholarship of discovery, [2] the scholarship of integration, [3] the scholarship of application and [4] the scholarship of teaching (understood as educational research). Within

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the context of Policy it will be noted that each domain of scholarship has differing requirements for space, equipment and cost. Each faculty member or student requesting support may expect that support to be tailored to their particular research program.

4. Coordinator of Sponsored Programs (CSP): University grant officer charged with oversight of the sponsored program application process (in collaboration with the Director of Research and RVU Controller).

5. Sponsored Research Project: A research project funded through corporate, federal or other external sponsors and administered by the University.

6. Significant University Resources: Any tangible resource provided by the University to the person submitting the grant, including, but not limited to, lab space and equipment; computer hardware, software and support; secretarial support; research, teaching and lab assistants; supplies; utilities; funding for research and teaching activities, travel; and other funding or reimbursement.

II. Certifications When Signing a Proposal

Proposals/applications seeking extramural funding must be circulated for approval in accordance with Section III (*Submission Procedures for Extramural Funding*) prior to being sent to the funding agency for review. Each person who signs an application for Extramural Funding certifies:

A. The Principal Investigator (PI)

1. An agreement to do all work as proposed;
2. There are no significant conflicts of interest (financial or other)
3. An agreement to be the overall project manager
4. An agreement to comply with all University policies regarding the protection of human subjects, assuring the safe and humane treatment of animals used in research, attention to safety procedures and adhere to any and all agreements between RVU and other institutions, when such agreements apply
5. An agreement to abide by all applicable regulations, policies and procedures related to the project; and
6. An agreement to accept responsibility for the scientific and ethical conduct of the project.

- B. The Department Chair/Direct Supervisor
1. That PI workloads are within 100% of effort. (It is expected that faculty and staff with University responsibilities for teaching, administration or patient care cannot logically commit a full 100% of their time to sponsored awards.)
 2. That unit resources are available and allocated;
 3. That matching/cost share commitments are authorized and committed; and
 4. That all space considerations in the project have been accounted for.
- C. The Chief Financial Officer's signature:
1. That the proposal budget is in compliance with sponsor/agency, state, federal, and university policies, regulations, and standards.
- D. The Director of Research
1. The University has the appropriate facilities, resources, and systems in place to administer and monitor the award in compliance with sponsor/agency, state, federal, and University policies, regulations and standards;
 2. The University is committed to the project and agrees to complete the project as proposed if an award is made; and
 3. That all certifications and assurances in the proposal are understood, true statements, agreed to, and will be abided by.
- E. The Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Biodiversity Committee
1. Ensures protection of human subjects, and assures the safe and humane treatment of animals used in research, with attention to safety procedures.
 2. Confirms that any research conducted with recombinant DNA, regardless of the source of funding or source of recombinant material, and biohazardous materials must be conducted in accordance with federal guidelines.
- E. The CSP:
1. The application review was conducted in accordance with this policy;

2. The application passes that review sufficiently to continue the institutional approval process.

III. Submission Procedures for Extramural Funding

A. Application and Supporting Documents

The following shall be prepared by the PI and submitted to the CSP no less than 14 working days prior to the deadline for receipt of the final proposal/application by the funding agency. (The application and supporting documents can be accessed on the RVU website.)

1. An RVU cover sheet.
2. An electronic copy and hard copy of the (attached) application, executed by the PI and his or her department chair (or, if the applicable department chair is the PI, then the PI's direct supervisor shall sign the signature form) accompanied by all supporting documents.
3. Electronic submission of the Budget Template attached to *Extramural Funding Request* application or obtained from the RVU website, under the Office of Research and Sponsored Programs to the ORSP.
4. A hard copy of the granting agency's requirements (PA, RFP, etc.).

- B. After the *Extramural Funding Request* application and all necessary supporting documents have been submitted to the CSP, the CSP will conduct a preliminary review in collaboration with the Director of Research and Controller. Once these individuals are satisfied that the application is ready to undergo a final review, it, along with all necessary supporting documents will be routed in accordance to the *Extramural Funding Request* application.

IV. Grant Reviews, Unauthorized Submissions and Additional Policies

- A. Grant Reviews: Peer reviews provided for all applications by the funding agency are to be copied to the CSP no later than **14 working days** after receipt from the funding agency.

Unauthorized Proposal/Application Submissions: The ORSP shall not submit a proposal/application unless it has undergone the full approval process, including all required signatures. If a PI submits an unauthorized proposal/application in violation of this Policy, the University may take disciplinary action in accordance with its *Responsible Research and Scholarship Policy* (Appendix A) and its disciplinary policies and procedures as stated in the *Scholarly and Research Misconduct Policy* (Appendix B).

- B. All applicants for extramural funding are encouraged to review the University's *Responsible Research and Scholarship Policy (Appendix A)*, *Scholarly and Research Misconduct Policy (Appendix B)*, and *Copyright Policy (Appendix C)*.

APPENDIX A

Responsible Research and Scholarship

- a. *Quality healthcare and medical education require responsible scholarship. Faculty are expected to observe ethical guidelines in research, to protect human subjects and animal welfare, and to guard against scholarly misconduct.*
- b. Protecting Human and Animal Subjects
 - i. The University is committed to ethical conduct in research involving *human subjects*, as set forth in *The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research*, and has established an Institutional Review Board (IRB) to oversee all research involving human subjects. Faculty are to follow the policies and procedures outlined in the *Policy and Procedure Manual for Research with Human Subjects*, which is available on-line and in hardcopy through the Office of Legal and Compliance.
 - ii. While currently not conducting *animal research*, faculty must be aware of the University's recognition of guidelines protecting animal welfare in research settings. The U.S. Government's Public Health Service (PHS) Policy on "Humane Care and Use of Laboratory Animals" requires institutions to ensure the appropriate care of all animals involved in research, research training, and biological testing. In keeping with PHS recommendations, researchers must follow the *U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training* on file in the Office of Legal and Compliance, even when animal research is performed off-campus.

APPENDIX B

Scholarly and Research Misconduct

- i. Teaching and research are integral parts of higher education, for faculty members create as well as transmit knowledge. For this reason, accuracy and honesty in teaching and research are essential.
- ii. "Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry." (American Association of University Professors, *Statement on Professional Ethics*, 1990)
- iii. Faculty members must adhere to accepted practices of scholarly research: to observe ethical standards; take credit only for their own work; avoid situations that compromise objectivity or create a conflict of interest; and abide by federal, state, and local laws. Faculty members must not falsify data, engage in plagiarism, abuse confidentiality, or violate research requirements.
- iv. A faculty member who engages in scholarly misconduct will be subject to disciplinary action. Because scholarly misconduct is serious and can affect the reputation and legal liability of the University, oversight of misconduct policies and procedures is vested in the Dean and President.
- v. Faculty have an obligation to report scientific and scholarly misconduct when it is observed or suspected, avoiding frivolous or unsupported allegations. The appearance of misconduct may be due to misunderstanding by the observer. If misconduct is suspected, the faculty member should first present concerns to the alleged offender(s). However, if direct communication with the alleged offender is unsuccessful at resolving the issue, or is not feasible due to a power differential or other reasons. The Dean should attempt to resolve the issue informally with the alleged offender(s). If an informal approach resolves the issue, no further action is taken, unless warranted by external exigencies. If the informal process does not resolve the issue, then a formal inquiry up to the presidential level is required.

APPENDIX C

Notice Warning Concerning Copyright Restrictions

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material. Under certain conditions, specified in law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be “used for any purpose other than private study, scholarship, or research.” If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of “fair use,” that user may be liable for copyright infringement. This institution reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law.



Office of Research and Sponsored Programs

Extramural Funding Request Application

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Extramural Funding Request Application

This form is to be completed by the Principal Investigator/Project Director, or his/her designee, for each (and every) grant and/or contract application and then returned to the Coordinator of Sponsored Programs (CSP).

Submit form to the CSP for signatures a minimum of 14 Business days before mailing date.

1. Project Director/Principal Investigator _____

Phone: _____

2. Department: _____

3. Proposal Title: _____

4. Investigator's % of effort on project: _____

5. Application Due Date: _____ 5A. RFA/PA Number _____

6. Funding Agency: _____ 6a. Type of Award (ie: R01, R03) _____

7. Funding Agency Address and Phone Number: _____

8. Type of Proposal: Grant Contract Subcontract Other

9. Type of grant/contract: New Resubmission Renewal Continuation (non-competing)

Revision

10. Purpose of Project: Research Education/Training Service Fellowship

Career Development Other _____

11. Agency type: Federal State Foundation Corporate Other

12. Will this project involve the use of radioactive isotopes? Yes No

13. If the project does involve the use of radioactive isotopes, please list those specific isotopes to be used: _____

14. Will this project involve the use of a controlled substance? Yes No

15. If this project involves the use of a controlled substance, do you have a current DEA license?
 Yes License number _____

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____ No Do you have a pending license application? ____ Yes ____ No

16. Does your protocol involve:

	Yes	No
Human subjects	_____	_____
Animal research	_____	_____
Biohazardous materials	_____	_____
Recombinant DNA	_____	_____

***Note:** if you have answered “yes” to any of the areas above, this application requires review and approval by the appropriate regulatory body: IRB (human subjects), IACUC (animals), Biosafety Committee (biohazardous materials, recombinant DNA).

17. Space and Facilities

Are existing allotments adequate? ____ Yes ____ No

If yes, state the location and rooms to be used:

If no, state additional allotments required:

18. Does the proposal obligate the University and/or College to expenses beyond the terms of the project period? ____ Yes ____ No

If yes, please describe what the proposed obligation entails:

19. Other personnel: provide list of names of other RVU personnel, departments, and/or external organizations and their % of time involved in this project.

20. For external organizations, please attach letters of agreements and/or support.

21. Other Faculty/Staff Assurance and Approval:

Please obtain signature of other participating faculty/staff and their department chairs and/or deans

<hr/>	<hr/>
Participating RVU faculty or staff member	Date

<hr/>	<hr/>
Supervisor (Dept. Chair/Program Head or Dean)	Date

<hr/>	<hr/>
Participating RVU Faculty or staff member	Date

Supervisor (Dept. Chair/Program Head or Dean)

Date

22. Performance Period:

First Year: From _____ To _____

Total Project Period: From _____ To _____

23. Does Project Require In-Kind Contributions?

Yes No If yes, attach list of those contributions.

24. Budget Template

Please complete the Budget Template (found below) with as much detailed information as you can provide, including types of supplies or pieces of equipment to be bought.

Please include the name of every faculty member and staff member who will be working on the project and their percentage of effort that will be devoted to the project for each year, even if no funds are requested for that person. If you can't fit all their names, attach a separate sheet of paper.

	% of Effort	Year 1	% of Effort	Year 2	% of Effort	Year 3	% of Effort	Year 4	% of Effort	Year 5	TOTAL
Personnel											
P.I.		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
Personnel Subtotal		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
Fringe Benefits (30%)		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
Total Personnel		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
Supplies Total											\$ -
Animal Costs											
Animal Per Diem											
Equipment Total											\$ -
Travel Total											\$ -
Contract Services/Consult Total											\$ -
Consortium Direct Costs Total											\$ -
Misc Total											\$ -
TOTAL DIRECT COSTS		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -
Consortium Indirect Costs											
INDIRECT COSTS (F&A) *											\$ -
TOTAL COSTS		\$ -		\$ -		\$ -		\$ -		\$ -	\$ -

*Indirect cost rate will depend on where the application is being submitted.

For Federal grants, the current rate is 46% on Modified Total Direct Costs excluding Equipment and only on the first \$25,000 of consortiums.

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25. In a separate document, please justify if there will be no salary charges and no indirect costs (e.g.: the sponsor does not allow) and attach the justification to this application.

26. If the sponsor requires a match or cost-sharing, please provide that information below.

	<u>YEAR 1</u>	<u>TOTAL PROJECT</u>
University Match and/or Cost-Sharing	\$	\$

(Circle one)

Percent University Match

and/or Cost Share	%	%
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(Circle one)

Please list those expenses which will be Cost-Shared (those expenses that will NOT be paid by the grant, (eg: PI's Salary plus Fringe Benefits, un-recovered Indirect Costs):

Definitions:

University Match – Those funds that the University must have on hand to meet a percentage of the actual costs of doing the proposed project, as identified by the sponsoring agency. For example: if it is proposed to purchase a piece of equipment costing \$100,000, the sponsoring agency may ask for a 50% match so that the University must have \$50,000 to meet the agency's \$50,000.

Cost-Sharing – Those direct cost expenses, though while identified as part of the cost of doing the project, the University agrees to share in the paying of said costs. Typically seen in cases of faculty time and effort. For example: if faculty member "A" proposes to work 50% on a

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protocol but only requests the sponsoring agency pay for 25% of his time, the remaining 25% balance would be paid for by the University. This is cost-sharing.

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A. Please provide a 1-2 paragraph description of the research project/proposal:

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28. Principal Investigator Assurance

My signature below certifies that: 1) that the information submitted within the application is true, complete and accurate to the best of my knowledge; 2) any false, fictitious or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and 3) I agree to accept responsibility for scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application. In addition, I am familiar with the conflict of interest policy and I have notified the appropriate office in writing of all possible conflicts of interest, as defined in RVU policies, as they may relate to this proposal or contract.

Principal Investigator (Print Name)

Principal Investigator (Signature)

Date

29. Department Chair/Supervisor

My signature below indicates that I approve this proposal/application and that it is within the total program and academic objectives. Adequate space is available or planned for the project. The professional time allocations described in the proposal are realistic.

Department Chair/Supervisor (Print Name)

Department Chair/Supervisor (Signature)

Date

30. Please review all application requirements (steps 1-29) and confirm all required information has been provided. See section III of this document and provide all required materials to the Coordinator of Sponsored Programs.

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I. Extramural Funding Request Checklist

Please complete each of the following steps prior to submitting the *Extramural Funding Request Application*. Submit this completed checklist with your application materials.

- Review the Extramural Policies and Procedures within this document
- Review the University's *Responsible Research and Scholarship Policy* (Appendix A), *Scholarly, Research Misconduct Policy* (Appendix B) and *Copyright Policy* (Appendix C).
- Create a cover sheet for submission of the application and associated materials
- If needed, obtain signature of other participating faculty/staff and their department chairs and/or deans
- Complete the budget template
- Provide a 1-2 paragraph description of the research project/proposal
- Obtain signature of PI
- Obtain signature of Department Chair/Supervisor
- Provide hard copy of the granting agency's requirements (PA, RFP, etc.)
- Submit all required materials to the CSP in hard copy and electronic form. (Note: the budget template must be submitted electronically.)

II. Next Steps

After submission of the application and required supporting materials to the CSP, the CSP will review the application within one week of receipt. If the application passes the review it will be submitted to the following individuals for review and final approval:

- a. Director of Research
- b. IRB, IACUC, Biodiversity Committee
- c. Chief Academic Officer
- d. President

Note: The application has not been approved unless signed by all of the individuals or entities required. The CSP will notify applicant when the application is approved. If at any point in the process the application is rejected by a reviewer, it will be returned to the CSP. The CSP will return the application to the applicant(s) with guidance for, if possible, correcting any errors or providing any missing information.

Office of Research and Sponsored Programs: Extramural Funding Request Review/Approval

Upon review and approval of the Extramural Funding Request Application, the CSP will be responsible for routing the Extramural Funding Request Review/Approval form to the appropriate parties for their review and signature within one week of receipt.

1. Coordinator of Sponsored Programs (CSP)

My signature below indicates that I have reviewed the application in accordance with the *Extramural Policy and Procedures*, and the application passes that review sufficiently to continue the institutional approval process.

Coordinator of Sponsored Programs (Print Name)

Coordinator of Sponsored Programs (Signature)

Date

2. Chief Financial Officer (CFO)

My signature below indicates that the Budget Template is in compliance with sponsor/agency, state, federal, and university policies, regulations, and standards. I am satisfied with all cost-sharing and/or matching obligations and all commitments in the proposal as they relate to my area.

Chief Financial Officer (Print Name)

Chief Financial Officer (Signature)

Date

3. Director of Research

My signature below indicates that the University has the appropriate facilities, resources, and systems in place to administer and monitor the award in compliance with sponsor/agency, state, federal, and University policies, regulations and standards.

The University is committed to the project and agrees to complete the project as proposed if an award is made and that all certifications and assurances in the proposal are understood, true statements, agreed to, and will be abided by.

Director of Research (Print Name)

Director of Research (Signature)

Date

4. Institutional Review Board (IRB)

My signature below indicates that the IRB has reviewed and approved protocols involving human subjects.

IRB Chair Person (Print Name)

IRB Chair Person (Signature)

Date

5. Institutional Animal Care and Use Committee (IACUC)

My signature below indicates that the IACUC has reviewed and approved protocols involving animal subjects.

IACUC Chair Person (Print Name)

IACUC Chair Person (Signature)

Date

6. Biodiversity Committee

My signature below indicates that the IACUC has reviewed and approved protocols involving biohazardous materials, recombinant DNA.

IACUC Chair Person (Print Name)

IACUC Chair Person (Signature)

Date

7. Chief Academic Officer (CAO)

CAO or designee (Print Name)

CAO or designee (Signature)

Date

8. RVU President

President (Print Name)

President (Signature)

Date