
OFFICE OF RESEARCH ADMINISTRATION

PURPOSE: To outline the mission and role of the Office of Research Administration (ORA), plus provide policy and procedural guidelines for the submission and acceptance of sponsored projects.

I. MISSION, ROLE, AND FUNCTIONS

A. Mission and Role

The Office of Research Administration (ORA) is the University-wide clearinghouse for sponsored projects. From an institutional point-of-view, the term "sponsored project" is an umbrella term referring to a number of distinctive relationships between a sponsoring unit and the University. These include grants, contracts, cooperative agreements, and letters of agreement for projects directed by faculty, staff and other institutionally recognized unit heads. Sponsorship may be from individuals, foundations, business and industrial organizations, or governmental and quasi-governmental units.

As a University service unit, the ORA's primary mission is to serve as a coordinator for all internal research and scholarly activities and as a catalyst in the development of public service, training, and demonstration and allied professional endeavors undertaken on behalf of the University in its efforts to meet the growing and changing demand on its resources by both the academic and user communities. From an operational perspective, the ORA is responsible for providing sponsored project-related assistance which includes: grantsmanship services (i.e., proposal development assistance and review; intramural project support and administration; and extramural administrative support services).

B. Functions

1. Develop and maintain a "one-door" system whereby inquiring individuals, firms, and agencies may determine the expertise available to them from the faculty.
2. Provide essentially a "one-door" support system for faculty members wishing to develop proposals or to become involved in allied professional activities sponsored by and/or through the University.
3. Formulate contract and grant administration policies and procedures for approval and promulgation by the Provost and Vice President for Academic Affairs.
4. Supervise the administration of sponsored project contracts and grants throughout the University.

5. Maintain liaison with sponsoring agencies; represent the University in negotiations with sponsoring agencies in the establishment of consistent contract and grant provisions and policies; resolve problems and settle disputes.
6. Serve as the repository for all records pertaining to extramural sponsored projects, e.g., the official grant and contract files, patents, copyrights, human subjects and animal use protocol approvals, etc.
7. Assure compliance with the sponsor's policies, e.g., fiscal, patent, property, human subjects, vertebrate animals, etc.
8. Serve as the administrative unit for internally supported research and scholarly activities activities, as well as State Board of Education (SBOE) research and scholarly activities support programs, except for the SBOE Research Centers Program.
9. Assist interested faculty members in preparing proposals (particularly the budget) and with all other administrative aspects of grants and contracts.

II. ORGANIZATION AND IMPLEMENTATION FOR RESEARCH ADMINISTRATION

A. General Administrative Structure

The University regards the research and scholarly activities of its faculty as part of their normal academic responsibilities. The primary responsibility for research and scholarly activities, therefore, resides in the departments and colleges. A principal investigator is responsible to his/her Chairperson and Dean for his/her research and scholarly activities just as for other academic activities. The University has made a number of administrative arrangements to support the Chairpersons and Deans and to provide for an overall review of these University activities. The Dean, Graduate College and Research; Director, ORA; and the Faculty Research Advisory Committee share the responsibility for the administration of the University's sponsored projects; work with Deans, other heads of educational and research units and with the faculty in establishing research and scholarly activities policies and procedures.

B. Director, Office of Research Administration

The Director is the University official responsible for the development and implementation of policies and procedures relating to extramural sponsored projects. In carrying out this responsibility, the Director acts with the advice of the Faculty Research Advisory Committee.

The Director is the University official responsible for policies and procedures concerning the care, maintenance and use of all vertebrate animals in research, research training and biological testing activities, in compliance with the rules of regulatory authorities.

The Director is responsible for assuring the protection of human subjects in compliance with federal law. For this purpose, an Institutional Review Board (IRB) has been established. The University requires that, prior to initiation, all research projects involving humans as subjects must be reviewed by the IRB. This policy applies, regardless of the source of funding and location of the study, to all biomedical and behavioral research involving human subjects conducted by faculty, staff, and students of the University.

C. Faculty Research Advisory Committee

The Faculty Research Advisory Committee consists of a faculty representative from each college as well as the Director, ORA as an ex officio member. The Committee's general function is to facilitate the conduct of research and scholarly activities at the University, particularly sponsored research. It also provides a mechanism whereby members of the University community can obtain information and express their concerns about any aspect of University research and scholarly activities.

III. DEFINITIONS

A. Sponsored Project

Any project which meets any of the following criteria is considered to be a "sponsored project" and will be administered accordingly:

1. the proposed project binds the University to a specific scope of work as evidenced by required progress, technical or final reports, or other deliverables;
2. the project has a specified performance period or completion date;
3. a report of expenditures or billing is required;
4. unexpended funds must be returned to the sponsor at the end of the project period;
5. the proposed activity involves human subjects, laboratory animals, use of radioactive materials, or biohazards; OR
6. the proposed agreement provides for the disposition of either tangible property (e.g., equipment, records, technical reports, theses or dissertations), or intangible property (e.g., inventions, copyrights or rights in data) which may result from the project.

Note: All projects which involve activities described in Item 5 above must be reviewed by the appropriate University committee for compliance with University policies.

B. Gifts

Gifts to the University of either a restricted or unrestricted nature which do not include any of the above conditions are not viewed as sponsored projects and are not processed through the ORA, but rather through the normal gift transmittal procedures ([BSU 11010](#)). Gift solicitation should be coordinated with the University's Director of Development.

IV. PROPOSAL POLICIES AND PROCEDURES

A. Proposal Review Process

1. Submission of Proposals - All formal proposals must be routed through the ORA prior to submission to the prospective sponsor.
2. Deadlines - A proposal should be submitted to the ORA in final form, at least five working days prior to deadline date.
3. Proposal Transmittal/Approval Form (ORA Form 676-01) - This form must be prepared by the proposal originator. Copies are available at the ORA. (This is an internal document and is not submitted to the sponsor.)

The form should be attached to the top of the original copy of the proposal and serves as a routing/signature sheet for each review level. The principal

investigator is responsible for acquiring Departmental/College Approvals prior to submission to ORA.

B. Proposals Requiring Special Reviews

When preparing a proposal, it is important to keep in mind that certain special reviews and approvals may be necessary to ensure compliance with University and sponsor requirements. The University requires these reviews for all projects, sponsored or unsponsored.

1. Human Subjects Review

Proposals calling for the use of human subjects must be reviewed by the University's Institutional Review Board (IRB). Human subject reviews and approvals must be obtained either before the proposal is submitted or before a deadline set by the sponsoring agency. No proposal will be processed by ORA unless the human subjects protocol has been submitted for review. Human subject "Guidelines" are available from ORA.

2. Animal Care Review

Proposals involving the use of vertebrate animals must be reviewed by the Institutional Animal Care and Use Committee. Committee approval is required before the proposal is submitted or before a deadline date set by the sponsoring agency. ORA will not process a proposal unless the Animal Care and Use protocol has been submitted for review. Animal Care and Use "Guidelines" are available from ORA.

3. Biohazards Safety Review

Proposals for activities involving the use of recombinant DNA techniques or use of infectious agents, teratogens, mutagens, and carcinogens must be reviewed by the Institutional Biosafety Committee (IBC). Information and questions concerning these areas should be directed to the ORA.

4. Additional Space Required

If additional space and/or modification of an existing facility are required the following information must be provided: a) modification plan reviewed and approved by University Architect; b) indication as to source of funds for said space and/or modification.

C. Proposal Signatory Authority

As a general rule sponsors require the original of each proposal to be signed by an authorized university official. For the University this individual is the Vice President for Finance and Administration. However, proposals must be submitted to the ORA, for review, prior to signature of Vice President for Finance and Administration.

V. AWARD POLICIES AND PROCEDURES

A. Award Notification

When a proposal has been approved by a sponsor for support, the Vice President of Finance and Administration will usually receive notice that a grant has been awarded or a contract is being prepared. If the principal investigator receives such a notice, it is recommended that he/she contact ORA immediately to insure that the ORA has also received the notice. ORA cannot administratively initiate the project without formal sponsor notification.

Many award instruments are received which require both sponsor and University

signatures, before they become effective. Principal investigators are not authorized to sign award documents on behalf of the University. When an award document is received which requires University signature to become effective, it is the responsibility of ORA to review the terms and conditions with the principal investigator and, if acceptable, to forward the award to the office of Vice President, Finance and Administration for signature. Upon receipt of the fully-executed formal documents, with all required signatures, ORA will process the award.

On occasions, a sponsor may award support for an investigator without a formal proposal being submitted through the University. In such cases, formal approval of the project as described in Section IV A B must be completed prior to the University's acceptance of the award.

B. Establishing an Account

Upon receipt of award notification and acceptance, the project director should prepare a BSU Form AC 101 "Request for Departmental Account Code" and forward to ORA, who in turn will forward the form to the Accounting Office with other award documentation.

C. Supplemental Awards

An existing award may be supplemented with additional funds during its performance period. Again, the principal investigator should contact ORA upon formal notification. The authorized amount of the award will not be increased in the accounting system until a revised budget, increasing the budget by the supplemental amount, has been processed.

D. Anticipated Awards

There may be a legitimate need to start a project prior to the receipt of formal notification of an award from a sponsor. In this situation, an account number may be requested through ORA prior to the formal notification by completing an Advance Account Code Request Form (ORA Form 676-03), with required approvals, plus a BSU Request for Departmental Account Code (Form AC 101). A "red-line" budget should be submitted for the total anticipated amount and the account will be activated at that time. If for any reason an award is not received, or if sponsor conditions preclude pre-award-date expenses, the department/college is responsible for any unallowable expenditures.

VI. GENERAL ADMINISTRATION POLICIES AND PROCEDURES

A. Sponsor-University Relationship

Awards for sponsored projects are made to Boise State University, which is identified as the grantee or contractor in the document. It is the primary responsibility of ORA, as designated institutional representative, to serve as the intermediary between the sponsor and the principal investigator for the purpose of negotiating changes in the project budget, modifications (reallocations, increase or decrease of funds), date extensions, and other items primarily administrative in nature.

The University, through the Grants Accounting Section of the Controller's office, is responsible for making required fiscal reports and obtaining payment for sponsored projects. That office and ORA are responsible for ensuring compliance with sponsor regulations and guidelines.

The principal investigator is directly responsible for performing the project within administrative constraints imposed by the sponsor and/or the University. The principal investigator directs the technical aspects of the project effort within the scope authorized by the sponsor and authorizes any and all expenditures of the project funds subject to approval, where necessary, by Department Chairperson, ORA or sponsor.

The principal investigator is responsible for the timely submission of all required technical reports.

B. Negotiation of Post Award Changes in Project

The ORA works with the principal investigator and the sponsor in the negotiation of any changes in the project. Requests for any project modifications requiring sponsor approval (such as changes in direction of the project or transfer of funds between budget categories) must be forwarded by the principle investigator to the ORA for approval and signed by the Vice President for Research before submission to the sponsor. Any changes in project personnel, whether or not such changes require sponsor approval, should first be approved by the Department Chair of Center Director, followed by the Dean of the College in which the principal investigator resides, before being forwarded to the ORA.

C. Over Expenditures

The University does not budget funds to cover grant or contract deficits. Therefore, the Departmental Chair, by signing a Request for Departmental Account Code (Form AC 101) is obligating an adequate amount of unrestricted or appropriated departmental funds to cover any over-expenditures arising from the establishment of a project account. If deficits or disallowances occur in a project account, the principal investigator, in consultation with the Department Chair and Dean, will advise the Controller as to the desired disposition.

D. Subcontracting

When it is anticipated that part of the work to be performed under a grant or contract will be subcontracted, this fact should be clearly set forth in the original proposal submitted to the sponsor. The technical proposal should include the scope of work of the proposed subcontract, the criteria for selection of the proposed subcontractor(s) and a justification for use of subcontractor(s). If a cooperative effort is planned and the participating organization has been selected, the proposal should include a letter and other documents indicating the organization's willingness to participate, signed by an official authorized to commit the organization. The estimated amount of the subcontract should be included in the proposal as a lump-sum amount including the subcontractor(s) direct and indirect costs as a direct cost item under "other" expenses. A separate breakdown of the subcontractor's costs, documented to the same degree as the prime budget, should be appended.

Subcontracts to other organizations for such services must be approved by the sponsoring agency and ORA. The principal investigator always determines the need for, justifies and initiates, a subcontract.

The prime contract or grant is the controlling document in determining the terms and conditions that must be included in a subcontract. In all cases, the type of subcontract and its terms and conditions should be tailored to the task to be accomplished.

E. Cost-Sharing

Some sponsors require the University to contribute to the cost of the project and may require a financial accounting of the University's contribution. The University budget(s) to which such cost-sharing will be charged must be identified prior to approval of the sponsored project budget.

University contributions in terms of personnel effort and the associated employee benefit costs, other direct expense and the indirect cost calculated on these expenses at the approved University indirect cost rate can be shown. Any difference between indirect costs at the sponsor-limited rate and the University's negotiated rate can also be used as cost-sharing.

The University discourages cost-sharing unless mandated by the sponsor.

VII. RELATED SPONSORED PROJECTS POLICIES AND PROCEDURES
(LISTING ONLY)

- [BSU 4400](#) Professional Research, Consulting, or Service Activities
- [BSU 5040](#) Faculty Research Advisory Committee
- [BSU 6080](#) Facilities and Administration (F&A) Cost Rates and Waiver or Partial Waiver of Facilities and Administration Costs
- [BSU 6100](#) Distribution of Program Development Funds and Salary Buyout Funds From Sponsored Projects
- [BSU 1090](#) BSU Intellectual Property Policy
- [BSU 5050](#) Use of Human Subjects
- [BSU 5080](#) Biosafety Policy
- [BSU 5060](#) Misconduct in Research