Berry College
Office of Faculty Research and Sponsored Programs

Faculty Research Handbook

August 2004

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PREFACE

The Office of Faculty Research and Sponsored Programs *Faculty Research Handbook* is designed to assist Berry College faculty and staff members who are interested in seeking external support for research or other scholarly activities. External research support provides faculty and students with unique opportunities to pursue projects and inquiries beyond the limits of college resources. Thus, sponsored research is an integral part of the college=s attempt to achieve excellence and to fulfill its mission of education through research, creative activity, and service.

The purpose of this handbook is to collect, in one reference, the current policies and procedures relating to research and other sponsored programs at Berry College. The Office of Faculty Research and Sponsored Programs (FRASP) staff is available to answer questions and help you in your project development. For the FRASP staff to be effective in its assistance, the faculty who initiate proposals should be familiar with the material in this handbook and with the guidelines of the funding agency. Careful attention should be given to the budget, human- and animal-participant regulations (if applicable), facilities and staff availability, and any administrative obligations when funding is secured. It is imperative that the appropriate department chairperson and dean review the project as soon as feasible. This initial review will resolve many potential problems and frustrations prior to the deadline date. In all the above matters, the FRASP staff is available to offer assistance to support the pursuit of excellence in research and scholarship.

One of the goals of the FRASP office is to facilitate research and to foster a creative environment for all Berry College faculty and staff. It is our hope that this handbook will help us achieve this goal and that it will be of genuine assistance. We welcome your comments and suggestions for future updated versions of this handbook. Please forward your comments to:

Office of Faculty Research and Sponsored Programs
Box 495006
CAMPUS MAIL
or
faculty_research@berry.edu.

GENERAL POLICIES AND PROCEDURES

Policy and Mission Statement

The Office of Faculty Research and Sponsored Programs (FRASP) was established in 1992 as an academic service unit of Berry College. FRASP staff members are responsible for assisting faculty, staff, and administrators in the acquisition of external funding for research and other creative/scholarly projects; representing the college in pre-award transactions with funding sponsors; and acting as a liaison between project directors, sponsors, and administrators in its effort to support the scholarly community. In addition, the FRASP staff will maintain and administer such institutional policies, required by federal and state agencies, which pertain to the ethical conduct of research at Berry College. Such policies include the Institutional Review Board for Human Participants Research, the Institutional Animal Care and Use Committee, the Conflict of Interest Policy, and the Intellectual Property Policy.

All applications by faculty for external funding or other support **must** go through FRASP for institutional review before submission to a funding agency or sponsor. This review policy applies whether or not the funding agency requires institutional signatures. In addition, **approvals** from your department chairperson and dean are necessary early in the proposal process.

The Office of Faculty Research and Sponsored Programs

Organization Structure

The Office of Faculty Research and Sponsored Programs has been designated by the President of Berry College as the office responsible for the requests for, and administration of, funding of any research performed under the auspices of Berry College. The Office of Faculty Research and Sponsored Programs staff includes a director (Donna Davin) and a grants coordinator (Amy Summerlin). The director reports to the associate provost and dean of academic services, who in turn reports to the provost.

Services Provided

Although the writing of a proposal is the responsibility of faculty or staff members, FRASP staff can assist in many ways. We can facilitate interdisciplinary groups; help refine ideas; identify and suggest funding sources; proofread and edit (when given enough lead time); provide feedback about a project=s design and proposal format; prepare or check budgets; review compliance and assurance statements; communicate with program officers; and expedite the institutional-approval process. FRASP staff also assists with post-award negotiations, reporting, and information dissemination. FRASP staff maintains a small library of resource materials and sample proposals (see Appendix A) to help you. For a suggested proposal outline, see Appendix B.

It is advisable to meet with FRASP staff members early in the planning processBweeks or, in some cases, even months ahead of the grant deadline. At the minimum, for budget assistance and the review process, you should bring the proposal to the FRASP office 14 days before the application postmark deadline. Allow more time if the proposal is for a project involving

multiple investigators, has a complicated budget and/or extensive agency certifications, or will be submitted electronically.

PROPOSAL DEVELOPMENT AND PRE-AWARD PROCEDURES

There are two identifiable stages for the administration of externally-funded research and sponsored programs--pre-award (proposal preparation, institutional approval, and proposal submission) and post-award (negotiations, accounting, reporting). Pre-award activities are the responsibility of the principal investigator (PI) (faculty/staff member) and FRASP staff. Post-award management is a shared responsibility of the PI, the Business Office, and FRASP.

Proposal Development

In the pre-award stage of the grant process, the researcher develops a proposal to submit to potential funding agencies. FRASP staff can help with the identification of potential funding sources; proposal preparation, review, submission; human-participants and/or animal-welfare review; budget preparation and verification; and institutional approval and sign-off. Very early on in the process, you must complete the *Intent to Submit an External Proposal* form (see Appendix E) and submit it to your Department Chairperson and Dean for their approval.

The outline that follows is a guide for proposal writers. The steps outlined are in sequential order and take a writer from the initiation of the project/idea to a completed proposal.

1. Compose and refine your project idea. Discuss the project with your department chairperson and dean to determine suitability and availability of facilities needed.

2. Discuss your proposal idea with the FRASP staff, and begin a search for possible funding sources if you do not have a source in mind.

3. After a funding source is identified, obtain the appropriate guidelines, application forms, and other required data from the FRASP office or through on-line or other services.

4. Establish a time line, keeping in mind the deadline for receipt of your proposal at the sponsoring agency and the processing time within the college. Plan your work to accommodate the time necessary to complete the <u>total</u> proposal process. Please keep in mind that if your project uses humans or animals as research participants, you will need to include time for institutional-committee review

5. Write a draft of the proposal, carefully following the guidelines of the funding agency. Have a colleague review and comment. See Appendix B for a sample proposal format.

6. Meet with FRASP staff to begin working on a budget for the proposal.

7. Submit a draft of the proposal and budget to FRASP for review.

8. After consulting with FRASP staff, prepare a final copy of the proposal. A transmittal form (see Appendix E) used to obtain administrative approval will be initiated at this time.

9. Your proposal is now ready for administrative approval and sign-off.

Institutional Approval

Sign-off is the process by which all aspects of the proposal will be reviewed and approved by the designated Berry College administrators. All proposals require review and sign-off, even in those few instances where the sponsoring agencies may not require it. The sequence of approval and sign-off is as follows:

1. Principal Investigator(s) - if more than one PI, all should sign.
2. Department Chairperson(s) - if faculty from more than one department is involved, each chair should review and sign.
3. Dean(s) - if more than one school is involved in the proposal, each dean must be given the opportunity to review the proposal and approve/disapprove the activity.
4. Associate Provost and Dean of Academic Services
5. Provost
6. Vice President for Finance
7. President

Note: The PI is responsible for obtaining the signatures from the department chairperson(s) and dean(s). FRASP will then arrange for the balance of the administrative review and approval. All signatures must be obtained before a proposal can leave Berry College. Failure to obtain review and approval may result in Berry College=s refusal to accept the award.

Occasionally, based on the activity and the requirements of the funding agency, other departments and units of the institution may be asked to review and sign as well. When signed/approved by all of the above, the proposal returns to the FRASP office for final processing, copying, and mailing to the indicated agency. Additional copies will be made and distributed to the PI(s) and appropriate administrative offices.

Should the proposal not be approved for any reason during the sign-off process, the administrator declining to sign the transmittal form will inform the FRASP director. The director will contact the proposal writer(s) and attempt to resolve the problem. If necessary, the proposal will be pulled and the PI(s) will be asked to reconsider the project.

Deadlines

The majority of funding agencies have published deadlines. Be sure to check the deadline information carefullyBa missed deadline is a missed opportunity. Please keep in mind the following Berry College timelines:

Budget, final review (proofreading, editing, etc)B14 days
IRB reviewBExempt, two to three days; Expedited, five days; Full, two to four weeks (must be submitted two weeks prior to meeting date)
IACUC reviewBtwo to four weeks (must be submitted two weeks prior to meeting date)
Approval and sign-offBfive to seven days
NSF Fastlane/other electronic submissionsBadd an extra two to three days

POST-AWARD PROCEDURES

Award Notification
When a proposal has been approved for support by a sponsor, both the PI and the institutional official are notified. The institutional official forwards the notice to FRASP for processing. In most cases, the notification of award requires a signature by the institutional official.

Establishing an Account
After a grant is determined to be acceptable and the required agreement or contract is signed and in hand, FRASP staff secures an account number from the Business Office. Business Office staff members are responsible for setting up the account using the appropriate college budget categories. A copy of that budget, together with the terms of the award, are then forwarded to the PI and the FRASP office. It is occasionally necessary to confer with the PI regarding the distribution of funds within the budget, particularly if the sum awarded does not match the sum requested.

Disbursement of Funds
All funds received for approved proposals will be disbursed by the Business Office, and regulations regarding those disbursements will be set by that Office. Once the award has been assigned an account number, the PI will be notified and he/she can begin to submit purchase orders as needed. Funds will be disbursed through the college and then recovered from the funding agency by the Business Office.

If, during the project, reallocation of monies between budget lines is required, the PI should request such fund movement in writing to the FRASP Director. The director will then initiate the paperwork for the necessary adjustments.

Please note that any student hired to work on the grant must be processed through the student payroll system. Likewise, the paperwork for any personnel hired to work on the grant project should be processed following appropriate college policies.

Financial Reporting
The internal audit department of the Business Office is responsible for submitting all financial reports required by agencies for a funded project. Internal audit staff will complete forms necessary for electronic payment of funds and the following federal forms (when required):

SF269BFinancial Status Report
SF272BReport of Federal Cash Transactions
SF270BRequest for Advance for Reimbursement.

Facilities and Administrative Costs (Indirect Costs)
Facilities and Administrative (F&A) Costs are those expenses that help support the research effort but can not be directly charged to the grant project. These costs include building and laboratory facilities, maintenance, utilities, library services, computer access, staff support, costs

of federal compliance regulations, etc. F&A rates are negotiated by the college with the federal government and are applied to all grant budgets (unless the agency puts restrictions on these type costs). Please contact the FRASP office for the current rate for Berry College.

The Berry College policy on F&A costs allocation, as approved and signed by the president, indicates the distribution of those F&A costs recovered from the funding agency. This distribution is as follows:

Business OfficeB25%
Faculty Research and Sponsored ProgramsB25%
Principal InvestigatorB20%
Academic DeanB15%
DepartmentB15%

Recovered F&A funds must be used to support research and research-development activities.

Institutional Policies for Compliance

Human Participants

Federal regulations (Title 45 Code of Federal Regulations Part 46) require that an Institutional Review Board (IRB) be established to help protect human research participants from risk that might result from their participation in a research study. The IRB=s role at Berry College extends to all research involving human participants whether conducted by faculty, staff, graduate students, or undergraduate students. All research projects involving human participants, whether conducted on- or off-campus, must be reviewed and approved by our IRB before recruitment of participants begins. The Berry College IRB meets once a month during the academic year. The Office of Faculty Research and Sponsored Programs is the office of record for the IRB and will keep all forms and documentation for the required five years.

Please refer to Appendix C for further discussion of Berry=s IRB.

Animal Care and Use

Berry College is committed to the humane care and use of animals in all activities related to research and teaching. Toward this end, Berry College has adopted, on an institution-wide basis, the principles regarding animal care as stated in the Animal Welfare Act (PL 89-544 and amendments), the *Guide for the Care and Use of Laboratory Animals*, and the *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching.* In order to accomplish the objectives inherent in these regulations and principles, the Institutional Animal Care and Use Committee (IACUC) has been established to review and approve all projects, with or without internal or external funding, that involve the use of vertebrate animals. Faculty, staff, and students are required to have research and teaching activities involving vertebrate animals housed at Berry College reviewed by the committee prior to the beginning of the activities.

The IACUC is authorized to request modifications, approve, withhold approval, or suspend animal-research and teaching projects. In addition to reviewing research projects, the IACUC

also carries out other federally mandated functions such as reviewing and reporting on the overall animal program, inspecting and evaluating all the animal facilities at least once every six months, reviewing and investigating legitimate concerns involving the care and use of animals at the institution, and making recommendations to the president and provost regarding any aspect of the research, animal program, facilities, or personnel training.

For further discussion of Berry College=s IACUC, please refer to Appendix D.

Intellectual Property
Faculty, staff, or students who receive college support through internal grants are free to copyright articles, books, or other publications or to hold the patents for inventions in their own names for the materials resulting from their funded projects. However, work supported by external funding may be subject to requirements of the sponsor. For example, some sponsors may require that the resulting material be published, and others may require that the copyright or patent be held by the funding agency.
Conflict of Interest
Individuals participating in research or consultation projects must disclose any potential conflict of interest to the appropriate dean or supervisor prior to beginning the project, or to the appropriate institutional committee for review. Such disclosure would be appropriate if there is a potential for the outcome of the project to lead to personal gain for the individual or his associates.

Scholarly Misconduct in Research
In October 1999, the Office of Science and Technology Policy proposed a government-wide policy redefining misconduct in science as Afabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.@ The National Science Foundation and the Public Health Services also have issued definitions of misconduct with requirements that institutions receiving their funding must establish policies and procedures for handling misconduct allegations. Any allegations of research misconduct at Berry College should be directed to the provost, who will initiate an inquiry and will determine if further review is necessary. If the provost determines that further review is required, the appropriate federal funding agency will be notified and a formal investigation will be conducted by a committee whose members will be drawn from either the Institutional Review Board or the Academic Council. If the investigators determine that research misconduct has occurred, the president and the provost will determine the action to be taken.

Other Services Provided
In addition to providing guidance with proposal preparation and submission, the staff members of FRASP can provide help with post-award reporting and technology transfer requirements. We also are available to assist with manuscript preparation, editing, proof-reading, indexing, and *PowerPoint* presentations. Also available in the office is a document/graphics scanner and color laser printer.

INTERNAL SUPPORT FOR RESEARCH

Faculty Development Grant Program

Berry College funds the Faculty Development Grant Program to encourage faculty members to engage in professional activities that will enhance their growth as scholars and teachers and contribute to the goals and objectives of their respective schools and departments as well as the institution. All full-time, non-temporary faculty holding the rank of assistant professor, associate professor, or professor are eligible to participate in the program. The program is divided into two categories: (1) faculty development grants and (2) summer stipends. The program does not support funds for travel to present research.

Faculty-Development Grants

Applications for faculty-development grants are due by **July 1**, **September 15**, **and January 15** (also March 15 if funds are still available) of each year and are awarded within one month. Only a portion of the funds will be allocated during any of the award periods. Faculty should submit applications through the appropriate department chairperson to the dean of the school, who will forward the application to the provost=s office. Applications are then forwarded to the Faculty Development Committee by the office of the provost.

Summer Stipends

Summer-stipend applications ($2,500/each, if funding is available) are due by **January 15** of each year and are submitted through the same procedure as the faculty-development grants. A faculty member may receive a summer stipend only once in a three-year period. A faculty member who receives a summer stipend is expected to devote the entire summer to research and will not engage in teaching or other activities such as summer seminars. Should a faculty member resign before the start of the next contract year, he/she will automatically relinquish the stipend. First-year faculty are not eligible for a summer stipend.

Using the following criteria, the Faculty Development Committee makes a competitive evaluation of the potential value of the various applications: (1) Will the applicant become a better teacher and/or researcher as a result of the grant award? (2) Will the project strengthen the academic goals and objectives of the college? (3) Will the project strengthen the professional development of the applicant in a cost-effective way? Proposals should contain clear and specific information about the project, alternate sources of funding, and the expected results of the research on scholarship and teaching.

After evaluating the application, the committee makes funding recommendations to the provost. The committee determines what proportion of each project will be funded according to the overall value of the proposal. Guided by the recommendations of the Faculty Development Committee, the provost will reconcile the grants with available financial resources. Awards currently may not exceed $2,000 per faculty development grant; no faculty member can receive more than $3,000 in any given year.

Application forms (see Appendix E) are available in the office of the provost, the offices of the school deans, and the office of Faculty Research and Sponsored Programs and its intranet site. Faculty who receive a grant must file a report detailing project activity and outcomes to the office of the provost within two semesters after the completion of the project.

APPENDIX A
Resources Available Through the
Office of Faculty Research and Sponsored Programs

On-Line Resources *(linked off of the FRASP intranet site)*

Government Agency Links

More than 35 links to various government agencies/departments. These links are through the National Council for University Research Administration.

Foundation Links

Numerous links to private and corporate foundations, associations, organizations, and societies that make grants. This link is through the University of Nebraska-Lincoln, Office of Research website.

IRIS (Illinois Researcher Information Service)

IRIS is a unit of the University of Illinois Library at Urbana-Champaign. The IRIS database of funding opportunities has been compiled at the University of Illinois at Urbana-Champaign since 1979. It currently contains records on over 8,000 federal and private funding opportunities in the sciences, social sciences, arts, and humanities. The IRIS Database is updated daily and is available in WWW and Telnet versions. In addition to the IRIS Database, the IRIS office also maintains the IRIS Alert Service and the IRIS Expertise Service. The alert service allows users at subscribing institutions to create personal IRIS search profiles and receive funding alerts automatically. The expertise service enables faculty members to create detailed electronic CVs (biosketches) and post them to the World-Wide Web for viewing by colleagues at other institutions, program officers at federal and private funding agencies, and private companies.

Print Resources *(available in the FRASP office)*

Grant Writing Resources and Guides

American Psychological Association. 1994. *Publication Manual of the American Psychological Association.* 4th ed. Washington, D.C.: American Psychological Association.

Bauer, R. 1986. *World=s Shortest Writing Course.* San Francisco: Reference Software, Inc.

Council of Biology Editors, Style Manual Committee. 1994. *Scientific Style and Format: The CBE Manual for Authors, Editors, and Publishers.* 6thed. Chicago: Council of Biology Editors, Inc.

Gibaldi, J. 1999. *MLA Handbook for Writers of Research Papers, 5th edition.* The Modern Language Association of America.

Henson, K. T. 1995. *The Act of Writing for Publication.* Needham Heights: Allyn & Bacon.

Herman, J. 1998. *Writer=s Guide to Book Editors, Publishers, and Literary Agents, 1999-2000.* Rocklin, CA: Prima Publishing.

Macmillian Education, Ltd. 1986. *Advice on Indexing.* London: Macmillan.

Miner, L. E., J. T. Miner, and J. Griffith. 1998. *Proposal Planning and Writing*. 2nd ed. Phoenix: Oryx Press.

National Science Foundation. 2000. *NSF Grant Proposal Guide and Fastlane Instructions.*

University of Chicago Press. 1993. *The Chicago Manual of Style*. 14th ed. Chicago: The University of Chicago Press.

Funding and Management Resources

Bauer, D. G. 1983. *The How To: Grants Manual. Successful Grantseeking Techniques for Obtaining Public and Private Grants.* Stateline, NV: D.G. Bauer Associates, Inc.

Borko, H., and M. Eisenhart. 1993. *Designing Classroom Research.* Needham Heights: Allyn & Bacon.

Feczko, M., and S. Olson. 1 988. *Foundation Grants to Individuals.* 6th ed. New York: The Foundation Center.

Ferguson, J. 1994. *Effective Grant Office: Streamlining Grants Development and Management.* Alexandria: Capitol Publications, Inc.

Ferguson, J. 1992. *The Grantseeker=s Guide to Project Evaluation.* Alexandria: Capitol Publications, Inc.

Gershowitz, M. 1993. *Effect Evaluation: A Systematic Approach for Grantseekers and Project Managers.* Alexandria: Capitol Publications, Inc.

Grants Management Advisory Service. *Federal Grants Management Handbook.* Vols. 1 and 2. Washington, D.C.: Thompson Publishing Group.

Lord, R. W. 1981. *Running Conventions, Conferences, and Meetings.* New York: Amacom.

Office of Management and Budget. *Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions*. OMB Circular A-21. Washington, D.C.

Orynx Press. 1999. *Directory of Research Grants, 1999*. 24th ed. Phoenix: Oryx Press.

Reinhard, W. 1999. *The Grantseeker=s Handbook of Essential Internet Sites, 1999-2000*. Gaithersburg: Aspen Publishers, Inc.

Wodarski, J. S. 1990. *The University Research Enterprise.* Springfield: Charles C. Thomas Books.

Animal Care and Use

Baker, R. M., J. H. Burrell, and M. A. Rose, eds. 1994. *Effective Animal Experimentation Ethics Committees*. Conference proceedings. Glen Osmond, Australia: Australian and New Zealand Council for the Care of Animals in Research and Teaching (ANZCCART).

Federation of Animal Science Societies. 1999. *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching*. Savoy, IL: Federation of Animal Science Societies.

Mellor, D., and V. Monamy, eds. 1999. *The Use of Wildlife for Research.* Conference proceedings. Glen Osmond, Australia: ANZCCART.

Mench, J. A., D. Phil, S. J. Mayer, and L. Krulisch, eds. 1992. *The Well-Being of Agricultural Animals in Biomedical and Agricultural Research.* Conference proceedings. Bethesda, MD: Scientists Center for Animal Welfare.

National Institutes of Health. 1992. *Institutional Animal Care and Use Committee Guidebook.* NIH Publication No. 92-3415. Washington, D.C.: U.S. Department of Health and Human Services.

National Institutes of Health. 1988. *Institutional Administrator=s Manual for Laboratory Animal Care and Use.* NIH Publication No. 88-2959. Washington, D.C.: U. S. Department of Health and Human Services.

National Research Council. 1996. *Guide for the Care and Use of Laboratory Animals.* Washington, D.C.: National Academy Press.

Office of Laboratory Animal Welfare. 2000. *Public Health Service Policy on Humane Care and Use of Laboratory Animals*. Washington, D.C.: National Institutes of Health.

Ruys, T., ed. 1991. *Handbook of Facilities Planning. Vol. 2, Laboratory Animal Facilities.* New York: Van Nostrand Reinhold Co. Inc.

Schaeffer, D., K. Keinow, and L. Krulisch, eds. 1992. *The Care and Use of Amphibians, Reptiles and Fish in Research*. Conference proceedings. Bethesda, MD: Scientists Center for Animal Welfare.

Scientists Center for Animal Welfare. 1998. *Field Research Guidelines.* Bethesda, MD: Scientists Center for Animal Welfare.

Silverman, J., M. A. Suckow, and S. Murthy, eds. 2000. *The IACUC Handbook.* New York: CRC Press.

Human Participants Resources

Kuhl, J., and A. S. Selwitz, comp. 2000. *IRB 101 Resource Guide*. Boston: Public Responsibility in Medicine and Research.

National Bioethics Advisory Commission. 2000. *Ethical and Policy Issues in Research Involving Human Participants*. Draft Report. Bethesda, MD: National Bioethics Advisory Commission.

National Institutes of Health. 1993. *Protecting Human Research Subjects: Institutional Review Board Guidebook*. NIH Publication No. 93-3470. Washington, D.C.: U. S. Department of Health and Human Services.

APPENDIX B
Sample Proposal Format

This sample should be used as a guide. When available, consult the agency=s Request for Proposals or other guidelines published by the funding agency.

Title Page

Name and address of the funding agency
Name of applicant and organization proposing the project
Place where proposed project will be implemented
Title of proposed project (title should describe the project)
Funding amount requested and length of project
Signature of authorizing official

Abstract

An abstract, usually 200 to 250 words, summarizes the objectives, significance, procedures, and methods to be used during the proposal activities and in the evaluation of the results.

Introduction

If lengthy introductory remarks are necessary to "brief" the reader, make them in a separate section so marked. If, however, the introductory remarks can be contained in a single paragraph, they can be made part of the project description or project narrative.

Project Description or Project Narrative

The description of the project is an augmentation of the previously cited abstract. In the description, a statement of the problem to be addressed, a detailed explanation of the research to be undertaken, the need for such a project and its resulting information, the methodology to be employed, the expected results, and the evaluation should be comprehensively discussed.

Personnel

A brief description of the senior personnel and their areas of expertise relative to the project should be given, although formal resumes may be included in the appendix. This description should include consultants (if any) who will play a major role in the project.

Budget

The budget of any proposal is always a critical element in the success or failure of a proposal. The budget must be as accurate as possible. Obtaining estimates of costs and then accurately estimating increases in those costs is the key to a budget. The components that must be considered in any budget are the *Direct Costs* and *Facilities and Administrative (F&A) Costs (also called Indirect Costs)*. Direct costs are those that can be charged to the general management and support of the project. F&A costs are usually in the form of a pre-negotiated rate that reflects the overhead costs to the university of providing the facilities and support to perform the grant activities. Except in cases where F&A costs are not

accepted by the funding agency, all funding requests should include both direct and indirect costs.

A. Direct Costs

1. Personnel Salaries and Wages
   List professional personnel, staff, graduate or undergraduate student assistants, and part-time workers. In all cases, estimated time committed to the project must be stated. If the proposal is for more than one year, or if there will be a salary increase during the project time line, such increases are to be reflected in the budget. Summer salaries and academic year salaries should be designated separately. The cost of any replacement personnel should be calculated to reflect the actual salary of the person who will be replaced. Salary figures for new positions should be calculated by FRASP staff members. The FRASP office has exact up-to-date figures for salaries and wages and will assist faculty in developing their budgets.

2. Fringe Benefits
   Fringe benefits are calculated on all salaries and wages listed in the above section. The current fringe rate is determined by the Business Office. This figure can be obtained from the FRASP office.

3. Supplies
   Identify, as specifically as possible, any consumable supplies that will be needed for the project and include them in the budget with a description of each category of item. In addition, list all expendable equipment items (costing less than $1,000).

4. Equipment
   List the costs of specific equipment required for the completion of the project and for which funding is requested. An item is considered equipment if it costs more than $1,000.

5. Travel
   A breakdown between domestic and foreign travel necessary for the personnel involved in the proposal is recommended. (This cost is not the same as travel expenses for participants in a training grant.)

6. Contractual Services
   a. Consultant Services: State the total amount for such services, but give the per diem rate for each consultant.
   b. Publication Costs: If publication is expected to result from the proposal, those costs may be included.
   c. Miscellaneous: Items such as copying, telephone, mailings, equipment maintenance, or any other non-line item can be included in this category.

B. Facilities and Administrative Costs (F&A) (Indirect Costs)

1. Negotiated Rate
   Contact the FRASP office for the most up-to-date rate for the college.

2. Externally-Controlled Rate
   Some funding agencies do not allow F&A costs at all or limit them. If this is the case, it will be noted in the program guidelines. Consult with FRASP staff on how to rebudget the F&A costs.

C. Cost Sharing/Matching Funds
   Funding agencies often require a college to demonstrate its commitment to a project by participating in the total costs of any project supported by a research grant. Some agencies set a minimum cost-sharing amount. All grant matches or cost-sharing arrangements must be approved in advance of proposal submission. Consult with the FRASP staff members to determine cost-sharing funds available.

Reference List

Generally only those bibliographical references discussed in the proposal should be included. Make sure to give full citations so that material can be found if necessary.

Vita

In most instances, funding agencies require or expect the PI=s vita to be attached. Your vita should be up-to-date, readable, and concise.

Appendices

Although some guidelines specifically request that no appendices be included, the majority of the time, appendices are necessary for a comprehensive understanding of the proposal. These additional materials can include supporting documents, letters of support, clearances, and any other documentation clearly necessary to the understanding and approval of the project.

APPENDIX C
Berry College Policy on Human Participants Research

Berry College is committed to safeguarding the welfare, rights, and privacy of all persons who participate as participants in research projects conducted under its auspices and to ensuring that the participants of such research are aware of their rights and the protections available to them. Moreover, the college is required to assure the federal government that such safeguards are being provided and enforced. Therefore, Berry College requires that **all** research projects involving the use of human participants be reviewed and approved by the Institutional Review Board (IRB). The college=s policy on human participants meets the ethical and legal requirements mandated in the Code of Federal Regulations (CFR) Title 45 Part 46BProtection of Human Subjects.

Human Participants Institutional Review Board

The Berry College IRB consists of at least five faculty members appointed by the provost; a member of the community unaffiliated with the college, also appointed by the provost; and the director of Faculty Research and Sponsored Programs. The IRB meets once a month during the academic year. A chairperson is chosen at the first IRB meeting of year. The IRB works closely with the director of Faculty Research and Sponsored Programs (FRASP), who acts as liaison with faculty, staff, and students, and enforces the actions of the IRB. The Faculty Research and Sponsored Programs office is the office of record for the IRB.

The Review Process

Faculty members, staff members, or students who are planning research projects involving human participants are responsible for initiating the review process by submitting their protocol review form to IRB through the director of FRASP. The director of FRASP and the chairperson of the IRB review the proposed research and assign the protocol to one of the following categories:

- $ exempt from IRB review
- $ expedited IRB review
- $ full IRB review

Research in the exempt category requires no further review. Protocols determined to require expedited review will be forwarded to the IRB Chairperson and at least one other member of the IRB for review. Copies of protocols judged to require full review will be forwarded to all IRB members for review at an upcoming meeting.

There are four possible outcomes to a review:

- $ ApprovedBno further action is required from the investigator prior to initiating the study;
- $ Conditional ApprovalBminor changes are requested before the study may begin;
- $ Revise and ResubmitBextensive changes are required before the study may begin;
- $ DenialBthe proposed research, because of the level of risk involved, cannot be initiated.

A letter describing the decision of the IRB committee will be sent to the investigator. Faculty members, staff members, or students who have submitted research proposals for review and have been asked to make revisions or have been denied approval may request the IRB to review its decision, and may write to or appear before the committee to discuss that decision. Research approved by the IRB must be re-reviewed on an annual basis by the IRB; the IRB chairperson will determine whether a full or expedited review is required.

Categories of Review

All research, including that which the investigator believes falls into the exempt category, must be submitted to the IRB for confirmation of the relevant review category. The criteria used to determine the categories of review are described below.

Exempt

Part A (all items must apply)

1. The research does not involve as a subject prisoners, fetuses, pregnant women, the seriously ill, or mentally or cognitively compromised adults.
2. The research does not involve the collection or recording of behavior that, if known outside the research, could reasonably place the subject at risk of criminal or civil liability, be stigmatizing, or be damaging to the participant=s financial standing, employability, insurability, or reputation.
3. The research does not involve the collection of information regarding sensitive aspects of participant=s behavior (e.g., drug or alcohol use, illegal conduct, sexual behavior).
4. The research does not involve any participant under the age of 18 (except as they are participating in projects that fall under categories 1, 3, 4, and/or 5 in Part B). Category B, No. 2 studies that include minors should be submitted for expedited review.
5. The research does not involve deception.
6. The procedures of this research are generally free of foreseeable risk to the subject.
7. The research does not require a waiver from informed consent procedures.

Part B (at least one item should apply)

1. Research conducted in established or commonly accepted educational settings and involving normal educational practices (e.g., research on regular and special education instructional strategies, research on instructional techniques, curricula, or classroom management methods).
2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, where information is recorded anonymously (i.e., so that the human participant cannot be identified, directly or indirectly through identifiers linked to the participant). All survey/ interview/observational research in which elected or appointed public officials or candidates for public office serve as participants is exempt, whether or not data collection is anonymous.
3. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens. These sources must be either publicly

available or the information must be recorded anonymously (i.e., in such a manner that participants cannot be identified, directly or through identifiers linked to the participant).

4. Research (including demonstration projects) conducted by or subject to the approval of federal department or agency heads and designed to study, evaluate, or otherwise examine (1) public benefit or service programs (e.g., social security, welfare, etc.); (2) procedures for obtaining benefits or services under those programs; (3) possible changes in or alternatives to those programs or procedures; or (4) possible changes in methods or levels of payment for benefits or services under those programs.
5. Research involving taste or food quality evaluations or consumer acceptance studies, where the tested products are wholesome foods without additives, or foods which contain additives at or below levels found to be safe by the FDA or approved by the EPA of the Food Safety and Inspection Service of the U.S. Department of Agriculture.

Expedited

Review Part A (all items must apply)

1. The research does not involve as a subject prisoners, fetuses, pregnant women, the seriously ill, or mentally or cognitively compromised adults.
2. The research does not involve the collection or recording of behavior which, if known outside the research, could reasonably place the participant at risk of criminal or civil liability, be stigmatizing, or be damaging to the subject's financial standing, employability, insurability, or reputation.
3. The research does not involve the collection of information regarding sensitive aspects of the participant=s behavior (e.g., drug or alcohol use, illegal conduct, sexual behavior).
4. The procedures of this research present no more than minimal risk to the participant. ("Minimal risk" means that the subject will encounter no greater arm or discomfort than encountered in daily life or during the performance of routine physical or psychological examinations or tests.)

Part B (at least one item should apply)

1. Research involving existing identifiable data, documents, records, or biological specimens (including pathological or diagnostic specimens), where these materials, in their entirety, have been collected or will be collected solely for non-research purposes. These sources are not publicly available and, although confidentiality will be strictly maintained, information will not be recorded anonymously (e.g., use will be made of audio or video tapes, names will be recorded, even if they are not directly associated with the data).
2. Collection of data through use of the following procedures: (1) non-invasive procedures routinely employed in clinical practice excluding procedures involving x-rays or microwaves; (2) physical sensors that are applied either to the surface of the body or at a distance and do not involve input of significant amounts of energy into the subject or an invasion of the subject's privacy; (3) weighing, testing sensory acuity, electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, electroretinography, echography, sonography, ultrasound, magnetic resonance imaging (MRI), diagnostic infrared imaging, doppler blood flow, and

echocardiography; (4) moderate exercise, muscular strength testing, body composition assessment, and flexibility testing where appropriate given the age, weight, and health of the individual.

3. Collection of data from voice, video, digital, or image recordings made for research purposes where identification of the participant and/or their response would not reasonably place them at risk of criminal or civil liability or be damaging to the participant=s financial standing, employability, or reputation.
4. Research on individual or group characteristics or behaviors (including but not limited to research involving perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior, or research employing surveys, interviews, oral history, focus groups, program evaluation, human factors evaluation, or quality assurance methodologies).
5. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior. Although confidentiality will be strictly maintained, information will not be recorded anonymously (e.g., use will be made of audio-or videotapes, names will be recorded, even if they are not directly associated with the data).
6. Research that involves deception. Deception must be scientifically justified and de-briefing procedures must be outlined in detail.
7. Prospective collection for research purposes of biological specimens; research on drugs or devices for which an investigational new drug exemption or an investigational device exemption is not required; collection of blood samples by finger stick or venipuncture.
8. Research previously approved by the convened IRB as follows: (1) where (a) the research is permanently closed to the enrollment of new participants; (b) all participants have completed all research-related interventions; and (c) the research remains active only for long-term follow-up of participants; or (2) where the research remains active only for the purposes of data analysis; or (3) where the IRB has determined that the research involves no greater than minimal risk and no additional risks have been identified; (d) where no participants have been enrolled and no additional risks have been identified.

Full Committee Review

If ANY OF these apply:

1. The research involves as a participant prisoners, fetuses, pregnant women, the seriously ill, or mentally or cognitively compromised adults.
2. The research involves the collection or recording of behavior that, if known outside the research, could reasonably place the participant at risk of criminal or civil liability, be stigmatizing, or be damaging to the participant=s financial standing, employability, insurability, or reputation.
3. The research involves the collection of information regarding sensitive aspects of the participant=s behavior (e.g., drug or alcohol use, illegal conduct, sexual behavior).
4. The procedures of the research involve more than minimal risk to the participant (where "more than minimal risk" means that the subject will encounter greater harm or

discomfort than encountered in daily life or during the performance of routine physical or psychological examinations or tests).

5. Any research which does not fall into any of the categories explicitly identified as qualifying for exempt or expedited status.

Forms and Records

All necessary forms and instructions for completing them may be obtained from the FRASP office or from its intranet site (www.berrynet.berry.edu/facres/index.html). In addition, a copy of the form and instructions may be found in Appendix E. All records must be retained for three years after the completion of the research. Records may include such items as research proposals, informed consent documents, progress reports, reports of any injuries to participants, and all related correspondence concerning the use of human participants. Copies of all records should be forwarded to the FRASP office.

Time Needed for Review

The IRB will meet monthly during the academic year. The FRASP director will inform the college community of the exact dates of those meetings by the end of August each year.

Exempt Review

Projects considered under the Exempt From Review process will be considered as they are received. Exempt projects require two to three days for review.

Expedited Review

Expedited Review applications will be processed within 48 hours (exclusive of weekends and holidays) of receipt by the Expedited Review Subcommittee, which shall consist of no fewer than two and no more than three of the members of the full IRB. Expedited projects require no more than five days for review (depending upon the date of submission). Early submissions can expedite the review of projects.

Full Board Review

IRB applications must be submitted for review **at least two weeks** prior to the monthly meeting for consideration by the Full Board Review process. In general terms, Full Board Review projects require between two and four weeks for review (depending when they are submitted within the monthly cycle).

APPENDIX D
Institutional Animal Care and Use Committee Policies and Procedures

Introduction
Berry College is committed to the humane care and use of animals in all activities related to research and teaching. Thus, Berry College has adopted, on an institution-wide basis, the principles regarding animal care as stated in the Animal Welfare Act (PL 89-544 and amendments), the *Guide for the Care and Use of Laboratory Animals* (published by the National Research Council), and the *Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching* (published by the Federation of Animal Science Societies). In order to accomplish the objectives inherent in these regulations and principles, Berry College established the Institutional Animal Care and Use Committee (IACUC).

All research, classroom, or other activities (with or without internal or external funding) that involve the use of vertebrate animals must undergo IACUC review and receive written approval prior to initiation. Investigators are required to consult with the Berry College veterinarian about the project and submit a completed *Application for Protocol Review* to the IACUC for review. The IACUC is authorized to request modifications, approve, withhold approval, or suspend previously approved animal research and teaching projects. In addition to reviewing specific research projects, the IACUC also carries out other federally-mandated functions such as reviewing and reporting on the overall animal program; inspecting and evaluating all of the animal facilities, at least once every six months; reviewing and investigating concerns involving the care and use of animals at the institution; and making recommendations to the provost regarding any aspect of the research, animal program, facilities, or personnel training.

Membership
The IACUC shall consist of at least seven members. Membership shall include one faculty member from the departments of animal and horticultural science, biology, psychology, and religion and philosophy; the College veterinarian; a member of the community who has no connections to Berry College; the Dean of Mathematical and Natural Sciences; the Director of Faculty Research and Sponsored Programs (ex-officio member); and the Provost (ex-officio member). Members are appointed by the provost for a three-year term and may be reappointed at the discretion of the provost.

Meetings
The IACUC will meet monthly, usually on the first Friday of the month. Special meetings may be called as deemed necessary for the performance of IACUC responsibilities. A simple majority of the membership shall constitute a quorum.

Review Procedures
All Berry College faculty, staff, and students are required to have research and teaching activities involving vertebrate animals reviewed by the IACUC **prior** to the beginning of the activity. The *Application for Protocol Review* (see Appendix E) should be submitted to the IACUC via the Office of Faculty Research and Sponsored Programs. If the activity is being submitted to an

outside agency for funding, the application form and proposal **must** be approved by the IACUC before the proposal is mailed to the sponsoring agency.

The following steps are involved in the review process:

Step 1: *Submission of the Protocol.* Investigators submit two completed and signed application forms to the director of Faculty Research and Sponsored Programs in typed, hard copy.

Step 2: *Initial Review.* Following the receipt of an application form by the FRASP director, the form will be checked for completeness and compared to the final proposal. Complete application forms are then forwarded to the committee for review and discussion.

Step 3: *Review.* At their monthly meetings, the IACUC considers new protocols. Possible outcomes of the IACUC=s review include unqualified approval, approval pending modification(s) and/or clarification(s), table (deferral), or disapproval.

Step 4: *Investigator Notification.* If a protocol receives unqualified approval, the investigator is provided with a signed copy of the approved *Application for Protocol Review*. In cases where the IACUC requires clarification(s) or modification(s), the investigator is notified by the FRASP director. In such cases, the approval is issued following receipt of an acceptable response from the investigator. In cases of a tabled or disapproved protocol, the investigator is notified by the FRASP director and advised as to available options.

Criteria for Review

All proposed activities are reviewed to ensure that the following federal requirements for granting IACUC approval are met:

Activities

- All activities involving animals must be in accord with USDA Regulations/PHS Policy

Pain/Distress

- Projects must avoid/minimize discomfort/distress/pain. If pain/distress is caused, appropriate sedation, analgesia, or anesthesia will be used.
- Attending veterinarian must be involved in planning.
- Use of paralytics is prohibited.
- Animals with chronic/severe unrelievable pain will be painlessly killed.

Alternatives

- The Principal Investigator has considered alternatives to procedures that may cause more than momentary or slight pain or distress to the animal and has provided a **written narrative** description of the **methods** and **sources**, e.g., the Animal Welfare Information Center, used to determine that alternatives were not available.

Rationale/Methods

All proposals must include:

- Identification of the **species** and the approximate **number of animals** to be used;
- A **rationale for involving animals** and for the **appropriateness** of the **species and numbers** of animals to be used;
- A c**omplete description of the proposed use** of the animals;
- A description of **procedures designed to assure that discomfort and pain** to animals will be **limited** to that which is **unavoidable**.
- A description of any **euthanasia** method to be used.

Surgery

- Must meet requirements for sterile surgery and pre/post operative care.
- Cannot use one animal for several major operative procedures from which it will recover, without meeting specified conditions.

Housing/Health

Animal living conditions must be consistent with standards of housing, feeding, and care directed by veterinarian or scientist with appropriate expertise. Medical care must be provided by qualified veterinarian.

Qualifications

Personnel must be appropriately trained and qualified.

The Committee=s review process always includes a check for compliance with all applicable IACUC or institutional policies and procedures.

Continuing Review, Amendments and Termination of Protocols

Continuing Review and Three-Year Renewal of Ongoing Projects

Animal research protocols are approved for a three-year term, subject to continuing review at least annually.

Continuing Review Process

A letter is sent two months prior to the anniversary date of the last review to the principal investigator indicating that the continuing review is due. The investigator must complete and return a *Continuing Review Summary*, which is then reviewed by at least two IACUC members. Upon recommendation of the reviewers, the protocol is either approved outright for a period of time up to an additional year, or a protocol modification is requested and the normal review process resumes.

Three-Year Renewal

At the end of the third year of a protocol, the investigator must resubmit the protocol for IACUC review in order to continue research or teaching activities. A new *Application for Protocol Review* must be submitted; this form undergoes the same review process as any new protocol. The renewal should include all previous modifications or amendments made to the protocol since its original approval.

Modifications or Amendments to Approved Protocols

Modifications to approved protocols must be documented appropriately, reviewed, and approved. The method for obtaining approval for a modification or amendment is similar to that for a complete protocol. A letter requesting the modification including an explanation of the rationale for the change, and any amended *Application for Protocol Review* pages resulting from this change should be submitted to the IACUC. The chairperson or administrator, in consultation with the college veterinarian, determines if the modification is "minor" or "significant." Minor modifications may entail such things as small numbers of additional animal subjects, the addition of new personnel, or perhaps changing the route of administration of drug. Minor modifications may be approved administratively by the IACUC chairperson and the college veterinarian without full review. A major modification may entail a large change in numbers of animals being used or requested, an increase in invasiveness, a change in species, an increase in pain or discomfort, or a change in the method of euthanasia. Major modifications require review by the full committee. A written description of the significant change in the protocol should be provided to the IACUC. The veterinarian will notify the IACUC of any changes in choice of anesthetics or analgesics and any changes in their dosage.

Termination of IACUC Protocols

It is the responsibility of the investigator to notify the IACUC when a project is completed. Completed, withdrawn, or terminated projects are closed immediately upon notification. All animal use on a specified protocol is stopped. No further purchase of animals can be made under the specified protocol number. All closed projects are filed in the FRASP office for a three-year period from date of closure.

APPENDIX E
Berry College Facts and Forms

The following information will be needed to fill out various forms for submitting proposals. Please call the FRASP office if you have any questions or need additional information.

Applicant Name:	Board of Trustees, Berry College, Inc.
Applicant Organization Address:	c/o Office of Faculty Research and Sponsored Programs P.O. Box 495006 Mount Berry, GA 30149-5006 (706)290-2651 faculty_research@berry.edu
Authorized Institutional Representative:	Scott Colley, President
Institution Financial Officer:	Joseph L. Walton, Vice President for Finance
Fringe Benefit Rate:	contact FRASP office for current rate
Indirect Cost Rate:	contact FRASP office for current rate
Federal Identification Number:	58-0566133
State Identification Number:	057-79-00880-2
DUNS Number:	06-450-1000
Institution Code (NSF):	PRIV
U.S. Congressional District:	7th
Georgia Senate District:	52nd

GLOSSARY

Some of the terms defined below are not included in the narrative portion of the handbook, but are included here because they are part of the sponsored research administration vocabulary.

Abstract: A brief description of a project consisting of a concise summary of project goals and methodology. Usually 200 to 250 words.

Academic Fraud: A deliberate effort to deceive, including plagiarism, fabrication of data, misrepresentation of historical sources, tampering with evidence, selective suppression of unwanted or unacceptable results, and theft of ideas.

Allowable Costs: OMB Circular A-21 defines allowable costs as those that are:

1. Reasonable
2. Allowable and allocable to the project
3. Given consistent treatment by use of generally-accepted accounting principles
4. Conform to any limitations or exclusions set forth by the sponsored agreement or OMB Circular A-21.

Amendment: Any change to a contractual agreement needing official signature.

Applicant: Usually refers to the institution submitting the proposal. In most cases it does not refer to the individual researcher who wrote the proposal or who will serve as PI.

Application: A request for financial support of a project or activity usually submitted in a specified format and in accordance with a sponsor's guidelines and instructions.

Approved Budget: The financial expenditure plan, including revisions, that was approved by the sponsor and supports the project's activities for a stated period of time.

Assurances of Compliance or Certifications: Refers to certifications that applicant institutions must file before they can qualify for funding from government agencies.

Audit: A formal examination of an organization's accounts. An audit also may include examination of compliance with applicable terms, laws, and regulations.

Authorized Signature: The signature of a Berry College official who is designated to give assurances, make commitments, and execute such documents on behalf of Berry College as may be required by federal and state agencies and other organizations which provide financial assistance to the college.

Award: Funds provided from an external sponsor for support of a project at Berry College. This term is used for both the original award and any supplements; it can mean moneys or equipment.

Broad Agency Announcement (BAA): An announcement that is general in nature and that identifies areas of research interest, including criteria for evaluating proposals, and soliciting the participation of all offers capable of satisfying the government's needs.

Budget: An estimate of expenditures to be incurred in the performance of a project.

Budget Category: A portion of the budget designated for certain kinds of expenditures, e.g. salaries, materials and supplies, travel, equipment.

Budget Justification: The section of a proposal that explains why the funds listed in the budget pages are being requested.

Budget Period: The interval of time, usually 12 months, into which the project period is divided for budgetary and funding purposes.

Challenge Grant: A grant that provides moneys in response to moneys from other sources, usually according to a formula. A challenge grant may, for example, offer two dollars for every one that is obtained from a fund drive. The grant usually has a fixed upper limit, and may have a challenge minimum below which no grant will be made. This form of grant is fairly common in the arts, humanities, and related fields, but is less common in the sciences. A challenge grant differs from a matching grant in at least one important respect: the amount of money that the recipient organization realizes from a challenge grant may vary widely, depending upon how successful that organization is in meeting the challenge. Matching grants usually award a clearly defined amount and require that a specified sum be obtained before any award is made.

Civil Rights: A certification assuring the Federal agency that the institution complies with Title VI of the Civil Rights Act of 1964 (P.L. 88-352, as amended), which prohibits discrimination on the basis of race, color, or national origin .

Classified Research: Research sponsored by a federal government entity, or often the defense industry, that involves restrictions imposed by agreement or otherwise on the distribution or publication of the research findings, results following completion for a specified period or for indefinite duration, or access to facilities and information necessary to complete the work of the project.

Clinical Trial: A contract to test drugs, devises, or other controlled substances for FDA approval or for-profit corporations. This contract usually involves the use of human or animal subjects.

Competing Continuation: A request for continued financial support from a sponsor to continue the work of a previously-funded project. Competing continuations compete with new applications for a sponsor's funds. See also: Noncompeting Continuation

Conflict of Interest: A certification assuring the Federal agency that the institution has established administrative policies for promoting objectivity in research.

Consortium: Two or more institutions working in collaboration on the same research project, either funded directly by the supporting agency or one prime institution subcontracting out the funds to the other members of the consortium.

Consultant: An independent contractor who specifically provides professional advice. They usually have a separate skill or expertise not available within the College, and the need for their services commonly does not extent beyond a limited period of time in which to complete a specifically defined project.

Contract: An agreement to acquire services that primarily benefit the sponsor. For an award to be considered a contract, it normally must contain all of the following elements:1. Detailed financ

2. A specific set of deliverables and/or reports to the sponsor is required.
3. Separate accounting procedures are required.
4. Legally binding contract clauses must be included.
5. Benefits of the project accrue first to the sponsor, then to the university, then to the nation.

Contributed Effort: Effort expended on a sponsored project that the sponsor does not compensate for; a form of cost-sharing.

Cooperative Agreement:A funding mechanism which can be used by federal agencies when a program requires more agency involvement and restrictions than a grant but requires less agency supervision than a contract.

Co-Principal Investigator (CO-PI): One investigator sharing equal responsibility for the direction of research program. Some sponsors prefer the term ACollaborating Investigator@ or AInvestigator.@ Federal sponsors officially recognize only one individual (per institution) as a principal investigator or project director.

Cost Share: College and non-sponsor resources provided in support of sponsored programs; includes contributed effort and matching funds.

Cost Transfer: Transactions that move funds from one account to another, or move funds within one account from one budget category to another.

Debarment and Suspension: A certification assuring the Federal agency that the research personnel and the institution are not presently declared ineligible for receiving federal support; have not been convicted of fraud or a criminal offense in the performance of a federal award; are not in violation of federal or state statutes; are not presently indicted for criminal or civil charges; and have not, within a three-year period preceding the application, had one or more federal, state, or local transactions terminated for cause or default.

Delinquent Federal Debt: A certification provided to the federal awarding agency that the applicant organization is not delinquent on the repayment of any federal debt.

Deliverable: A generalized term for a product that is created in fulfilling the terms of a sponsored research project.

Direct Costs: Clearly identifiable costs related to a specific project. General categories of direct costs include, but are not limited to, salaries and wages, fringe benefits, supplies, contractual services, travel and communication, equipment, and occasionally computer use.

Discretionary Funds: Money that has not been earmarked for specific items and can be allotted at the discretion of an administrator.

Donated Property: Property provided by an outside party for specific activities related to sponsored project and/or research activities of the college; title to the property passes to the college at essentially no cost.

Donation: Transfer of equipment, money, goods, services, and property with or without specifications as to its use. Sometimes donation is used to designate contributions that are made with more specific intent than is usually the case with a gift, but the two terms are often used interchangeably.

Drug-Free Workplace: A certification assuring the federal agency that the institution does and will continue to provide a drug-free workplace as required by the Drug-Free Workplace Act of 1988.

Effort: The amount of time, usually expressed as a percentage of the total, that a faculty member or other employee spends on a project.

Employee-Related Total project costs related to the employment of project staff. This

Expenses: includes salaries and wages, benefits, and other costs associated with the employment of staff.

Encumbrances: A specific amount of funds that has been set aside in an account for the receipt of an order or the payment of an invoice. Encumbrances reduce the available balance of an account.

Endowment: A fund usually in the form of an income-generating investment, established to provide long-term support for faculty/research positions.

Equipment: Generally, an article of non-expendable, tangible personal property having a useful life of more than two years and an acquisition cost of $1000 or more per unit. Equipment is not a replacement part or component returning a piece of equipment to its original condition.

Expanded Authority: Ability of the Faculty Research and Sponsored Programs office to approve certain changes to a federally-sponsored research project without going through the prior approval process. Expanded authorities are granted only for specific changes to projects funded by designated federal agencies.

Expiration Date: The date signifying the end of the performance period, as indicated on the Notice of Award. May also be the date after such an agency's forms should not be used.

Extension: An additional period of time that may be given by the sponsor to an organization for the completion of work on an approved grant or contract. A no-cost extension allows previously allocated funds to be spent after the original expiration date and usually triggers a new Notice of Award from the sponsor.

Extramural Support: Funding for research, training, or public service programs provided by federal or private sources outside the College.

Facilities and Administrative (F&A) Costs: Also referred to as overhead or indirect costs. F&A costs are actual costs incurred to conduct the normal business activities of an organization. F&A costs usually cannot be readily identified with or directly charged to a specific project.

F & A Rates: Rates used to recover the facilities and administrative costs of a sponsored project. Negotiated, approved rates are to be used for all agreements with the federal government and for most non-federal projects, as allowable. Information on current indirect cost rates is available from the FRASP office.

Fiscal Year: Any twelve-month period for which annual records are kept. The fiscal year as defined by Berry College is July 1 through June 30. The Federal fiscal year is October 1 through September 30.

Foreign Travel: Travel outside of the United States and its territories and possessions (Guam, American Samoa, Puerto Rico, the Virgin Islands, and the Canal Zone) and Canada.

Formal Proposal: Any proposal submitted by a Berry College employee to an outside entity that may directly lead to an award.

Foundation: A private organization that makes awards to individuals or organizations for a broad range of projects.

Fringe Benefits: Those costs associated with employing staff that are not part of salary. Fringe benefits include such costs as health insurance, retirement benefits, vacation, and federal withholdings.

Full and Open Competition: The solicitation of bids from prospective suppliers which is used to assure that all responsible bidders are permitted to compete for the procurement.

Funding Cycle: Range of time during which proposals are accepted, reviewed, and funds are awarded. If a sponsor has standing proposal review committees (or boards) that meet at specified times during the year, application deadlines are set to correspond with those meetings.

Gift: A unilateral transfer of money, property, or other assets to the recipient for the recipient's ownership and use by a donor who makes no claims on the recipient in connection with the gift. Gifts normally have the following characteristics:

1. Statement of work allows the project director significant freedom to change emphases within the general area of work as the project progresses
2. No deliverables involved
3. Separate accounting procedures are not required
4. Benefits of the project are to accrue to the nation and the world
5. Sponsor has no audit rights

Governmental-Donated Property: Property donated or transferred to the institution by a municipality, county, state agency, or the federal government.

Government-Furnished Equipment (GFE): Equipment provided to the college by the federal government or contractor; title may or may not remain with the government.

Grant: A financial assistance mechanism whereby money, or equipment, is provided to carry out an approved set of activities.

Grantee: The recipient of a grant. When the college accepts a grant award, on behalf of an individual, it becomes the grantee.

Handicapped Individuals: A certification assuring the federal agency that the institution complies with Section 504 of the Rehabilitation Act of 1973 (P.L. 93-112, as amended) which prohibits discrimination on the basis of handicaps.

Human Participant: A living individual about whom an investigator (whether professional or student) conducting research obtains:1. Data through intervention or interaction with the individual.
2. Identifiable private information.

Indirect Costs: See Facilities and Administrative Costs

Informal Proposal: A short (generally 2-5 pages) description of the proposed project that does not involve a commitment of college resources. An informal proposal may include a total cost estimate, but does not include a budget and is not expected to result directly in an award. The purpose of an informal proposal is usually to inform and interest the potential sponsor enough to request a more detailed formal proposal. Sometimes called a letter proposal, preliminary proposal, pre-application, or concept paper.

Informed Consent: The voluntary agreement obtained from a participant (or the participant=s legally authorized representative) to participate in research or related activity, before participating in that activity. The consent must permit the individual (or legally authorized representative) to exercise free power of choice without undue inducement or any element or deceit, fraud, force, duress, or other form of coercion or constraint.

In-Kind Contribution: A noncash commitment (such as contributed effort, facilities use, or supplies) to share the costs of a sponsored project.

Institutional Animal Care and Use Committee (IACUC): A federally-mandated, provost-appointed committee that provides institutional review of research projects, laboratory experiments, or other activities that use animals. The committee also is responsible for the oversight of animal care and holding facilities on campus.

Institutional Authorized Officials: Individuals authorized by the Berry College Board of Trustees to sign grants, contracts, and agreements on behalf of Berry College.

Institutional Review Board (IRB): A federally-mandated, provost-appointed committee that provides institutional review for ethical concerns in the use of human participants in research.

Letter of Inquiry: Correspondence, initiated by an applicant, to determine if a proposed project is within a private agency's fundable program area and to request agency policy and program information, as well as instructions and forms.

Letter of Intent: Correspondence that advises a funding agency that an application will be submitted in response to their solicitation. The letter may contain general program information, unofficial cost estimates, and a request for specific application guidelines, instructions and forms.

Lobbying: A certification assuring the federal agency that no federally-appropriated funds or any other non-federal funds have been paid or will be paid for influencing any federal official or employee in connection with the awarding of any contract, grant or agreement.

Matching Funds: A cash commitment to share the costs of a sponsored project. Funds raised under a matching funds agreement are usually matched Adollar for dollar@ by the sponsor.

Material Transfer Agreement: Outlines who will retain final ownership of specific equipment purchased from sponsored research funds. Most frequently it refers to the transfer of ownership from a sponsor to Berry College, or from Berry College to a PI or another institution.

Misconduct in Science: A certification that the institution has established administrative policies dealing with and reporting possible misconduct in science, and that it will comply with the policies and requirements as published in the federal agency's regulations.

Mission: A sponsor's stated purpose, which is designed to address a specified set of problems. Almost all federal research agencies are designated as mission agencies.

Modification: Any change made to an existing sponsored agreement.

Modified Total Direct Costs (MTDC): A subset of direct costs, normally excluding costs such as patient care, rental of off-site facilities, tuition remissions, scholarships and fellowships, and equipment, alterations and renovations, and

subcontract costs in excess of the first $25,000, on which F&A costs may be charged. MTDC is established by the indirect cost rate agreement.

New Application: A request for financial support for a project not currently receiving support from a sponsor, and not previously submitted in the same form to a sponsor.

No-Cost Extension: Provides for an additional period of performance to accomplish project goals. May be handled internally in certain circumstances or sought externally from the sponsor.

Noncompeting Continuation: A request for financial support to continue the ongoing work of a previously approved project. Noncompeting continuations are not subject to competing review by the sponsor. Noncompeting continuations are, however, reviewed by the sponsor to assure that progress is being made on the project.

Notice of Grant Award: A legally binding document that serves as a notification to the recipient and others that sponsored funds have been awarded to a grantee to support a specific project or activity.

OMB Circular A-21: Cost Principles for Educational Institutions, published by the federal Office of Management and Budget (OMB). This circular establishes the principles for determining the costs applicable to grants, contracts, and other government agreements with educational institutions.

Patent: An agreement awarded by the government, granting the inventor the right, for a limited period, to exclude others from making, using, or selling the invention.

Peer Review: A process utilized by some federal and private agencies, whereby committees of research investigators in the same area of research or with the necessary expertise (from other institutions) review and recommend applications to the funding agency.

Principal Investigator (PI): Typically, a faculty member or administrator who submitted a proposal that was accepted and funded by an external sponsor, also referred to as the project director. The PI has primary responsibility for technical compliance, completion of programmatic work, and responsible spending of a sponsor funds.

Prior Approval: The process by which approval for specific changes to a sponsored research project are granted from the sponsor and/or the FRASP office.

Priority Score: A score derived from the rating given a research proposal by each member on a review committee. It is used to help determine which approved proposals will be granted awards, from funds available.

Program Announcement (PA): An agency's notification to the research community that financial assistance is available to carry out specific activities. The PA usually includes the program title, special emphasis or interests of the sponsor, type of assistance, and other sponsor imposed regulations or controls.

Program Officer: A sponsor's designated individual who is officially responsible for the technical, scientific, or programmatic aspects of a particular grant, cooperative agreement, or contract. Serving as counterpart to the Principal Investigator, the program officer deals with the grantee organization staff to assure programmatic progress.

Proposal: The term used to describe the complete grant package, including all required forms and budget.

Proprietary Research: Research sponsored by non-governmental entity or individual that involves restrictions on the distribution or publication of the research findings or results following completion, for a specified period or for indefinite duration.

Request for Proposal (RFP): Written documents soliciting pricing and/or technical proposals to supply goods or services as specified in the requesting document. The proposal procedure is often complex and must satisfy very specific requirements. Any resulting award(s) would normally be funded by a contract.

Research: A systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalized knowledge.

Sex and Age Discrimination: A certification assuring the federal agency that the institution complies with Title IX of the Education Amendments of 1972 (P.L. 92-318, as amended), which prohibits discrimination on the basis of sex; and the Age Discrimination Act of 1975 (P.L. 94-135), which prohibits discrimination on the basis of age.

Site Visit: An agency-initiated review of a proposed or funded project conducted at the applicant's institution.

Sponsor: An external funding source which enters into an agreement with the College to support research, instruction, public service, or other sponsored activities.

Sponsored Research: Research, training, or instructional projects involving funds, materials, other forms of compensation, or exchanges of in-kind efforts from sources external to an institution and funded through awards or agreements

Subcontract: A contract issued under a prime contract, agreement, purchase order, or grant for the procurement of purchased program-related tasks. Issuance of subcontracts under federal prime award are subject to compliance with federal law and all subcontracts are subject to the terms and conditions of the prime award and the normal purchasing requirements of Berry College.

Subgrant: An award of financial assistance in the form of money or property made under a grant by the grantee to an eligible recipient.

Terms of Award: All legal requirements imposed on an award by the sponsor, whether by statue, regulation(s), or terms in the award document. The terms of award include both standard and special stated provisions that must be met in carrying out the goals and objects of the grant.

Total Cost: Dollar amount it will take to complete a proposed project. It includes sum of the direct and F&A costs of a project.

Total Direct Costs: The total allowable direct costs incurred by the institution to carry out an approved project or activity.

Unrestricted Funds: Funds having no requirements or restrictions as to use or disposition. Funds awarded under grants, contracts, and cooperative agreements are considered to be restricted funds.

Unsolicited Proposal: Proposals submitted to a sponsor that are not in response to an RFP or program announcement.