New Faculty Orientation:
Sponsored Activities & Research Compliance

Presented by

Faculty Development Program

Butler Institute for Research and Scholarship

Office of Budgets and Grants Administration

Corporate and Foundation Relations

By the end of this session, faculty will:

- Know the administrative offices that support sponsored activities for faculty and staff

- Know where to find information about the internal grant committees

- Understand the basics of external sponsorship

- Understand the basics of research compliance

- Know where to seek information about budget development and financial reporting

Overview of Sponsored Activities

- There are two options for sponsored activities: internal grants (BAC/HAC committees) or external sponsorship

- Butler has a portfolio of $5M in sponsored activities from federal and non-federal sponsors for research and non-research activities.

- BIRS, Corporate/Foundations (CFR), and Budgets/Grants Administration (OBGA) work collaboratively to support faculty and staff seeking external sponsorship for research and non-research activities.

Butler Institute for Research and Scholarship (BIRS) Overview

- Supports faculty research and scholarship through internal and external grants

- Provides assistance with routing process for external grants

- Provides oversight for research compliance and intellectual property issues

- Works in collaboration with the Offices of Corporate and Foundations Relations and Budgets and Grants Administration for research and program activities

BIRS Staff

- **Taura Edwards- BIRS Director**
  - Facilitates the external grants approval process
  - Negotiates contracts and grant agreements
  - Oversees research compliance and faculty led committees
- **Kanti Crain- Research Compliance Officer**
  - Oversees approval of research compliance protocols
  - Develops policies and procedures related to research compliance
  - Supports verification of CITI training and renewals
- **Rebecca DeGrazia- Academic Affairs Assistant**
  - Oversees the submission and approval of internal grants
  - Provides administrative support for research and grant related activities

Research & Scholarship

- Work that advances knowledge

- May require data collection/analysis

- Could include the reflective analysis of someone else's work to create a new body of work

- Could result in the creation of original work

- Ultimately, respects the variety of art forms and variations in research models to expand or create new bodies of knowledge

Examples of Research & Scholarship

- Music composition and performance,

- Dance choreography, theater production and performance

- Literature criticism and creative writing (e.g. poetry, short story, non-fiction novels)

- Educational research on curriculum and pedagogy

- Human subjects, animal, and biohazardous research

- Basic or applied research in business, economics, communication (e.g. journalism, documentaries, social media)

- Art (e.g. visual, video, performance, installations, design)

Internal Grants

- Support professional development

- Curricular development/enhancement, and research

- Promote scholarship

- Provide an opportunity for new or junior faculty to gain experience working with grant funds

- Are submitted and approved through a committee process

Butler Awards Committee (BAC)

- Supports Fine Arts, Humanities, and Social Sciences (qualitative methods)

- Promotes faculty research from all disciplines

- Recognizes that scholarly activity can take all forms

Holcomb Awards Committee (HAC)

- Promotes research, scholarship, creativity, or innovation
- Promotes the discovery, integration, or application of knowledge
- Develop community partnerships or have a significant professional or community service component
- Promotes effective teaching or innovative curricular development
- Supports activities that are of an interdisciplinary nature or involve multiple faculty
- Have a significant impact on the professional development of the faculty members involved, particularly junior faculty
- Projects that involve students in research
- Have as their major purpose the development of subsequent proposals for external funding

Types of Grants Provided

- Mini-Grants
- Short Course/Workshop
- Travel to Present
- Instructional Development
- Publication Reimbursement
- Faculty Research
- Faculty Fellowships

External Grants

- Provide opportunities for external funders to support Butler's research and scholarship activities

- Can take the forms of gifts, grants, consulting agreements, professional services contracts, and collaborations

- Can be supported by federal/state/local government, other nonprofit organizations, other academic institutions, foundations, corporations, etc.

- Approval is routed through an internal approval process before submission

Corporate and Foundation Relations (CFR) Overview

- Sponsored activities are supported by the Advancement division of the Office of Corporate and Foundation Relations

- Advancement exists to "advance" the University's mission through the achievement of its strategic priorities, goals and objectives.

- Advancement will assist faculty and staff with identifying foundation or industry sponsors to support **non-research initiatives**

- This office facilitates the execution of gifts and non-research related grants.

- Advancement serves as the liaison with the President's office, where presidential approval is required to submit a proposal

Advancement & Grant Assistance

- Butler's University Advancement division exists to "advance" the University's mission through the achievement of its strategic priorities, goals and objectives. The three primary purposes are:

- Engaging alumni, parents, friends and the community in the life of the University.

- Raising the funds necessary to maximize the Butler experience for all students.

- Enhancing and leveraging Butler University's brand and reputation.

- These are accomplished collaboratively with our Butler colleagues, volunteer leadership, and the loyal alumni, friends, businesses and foundations that generously invest in Butler University.

Office of Budget and Grants Administration (OBGA) Overview

- Works with prospective grantees to develop a complete budget. (**Two weeks minimum needed**).

- Ensures that budgets are consistent with federal regulations, with specific program guidelines, and with Butler policies.

- Monitors/signs off on expenses as incurred to ensure that they are allowable.

- Tracks grant progress and provides periodic and final reports to grantors.

- Invoices and/or draws down cash from grantors.

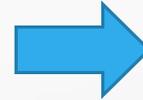# Process for Sponsored Activities

PRE-AWARD PHASE
- Identifying funding opportunities (BIRS)
- Proposal and budget development (OBGA)
- Internal approval (routing) (BIRS)
- Proposal submission (BIRS/PI)

AWARD PHASE
- Receiving award notification (BIRS/PI)
- Review and negotiation of agreement (BIRS/PI)
- Execution of awards and subawards (BIRS/PI)
- Set up grant accounts (OBGA)

POST- AWARD PHASE
- Budget management
- Financial (OBGA) and programmatic reporting (PI/CFR)
- Submission of grant requests (change PI/NCE) (BIRS)
- Final close out reporting (PI/OBGA)

External Funding Approval Process

- Must complete the External Funding Form
- Submit the forms to BIRS **at least 2 weeks prior to the due date/deadline**
- Form will be signed by Department Chair, Dean, BIRS, OBGA, Provost, and VP Finance
- If the funding is a contract, **the contract will require review by General Counsel and may add up to an additional 7 days to the process**.
- Final submission made by BIRS or faculty

Research Compliance

Responsible for overseeing that research activities are in compliance with the federal regulations, state law and the institution's policy.

- IRB (Institutional Review Board)

- IACUC (Institutional Animal Care and Use Committee)

- IBC (Institutional Biosafety Committee)

IRB (Institutional Review Board)

What is an IRB?	**Any board formally designated by an institution to review, to approve the initiation of, and to conduct periodic review of research involving human subjects. The primary purpose of such review is to assure the protection of the rights and welfare of the human subjects.**
What has to be reviewed by the IRB?	Any research that involves Human Subjects
What is Research?	A systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.
What is Human Subjects?	A living individual about whom an investigator (whether professional or student) conducting research obtains: • Data through intervention or interaction with the individual, or • Identifiable private information

IRB continued …

How to submit an application?	Email to IRB@butler.edu Or JH 144 Room E
What are the submission and review process?	• Exempt – No Expiration • Expedited – Typically 1 year • Full Board - Typically 1 year • Cooperative Research Review – depends on the level
What are the requirements?	• **Principle Investigator:** Full-time Faculty/ Staff • **All investigators:** Complete CITI • Complete and submit the application form and the research documents (Consent, recruitment materials, survey list etc).

IACUC
(Institutional Animal Care and Use Committee)

What is IACUC?	The Committee that exists to oversee the use of animals in research and teaching at Butler University and to ensure that all applicable federal, state, and local regulations governing the use of animals are met.
What has to be reviewed by the IACUC?	Any research and teaching activities that utilize the vertebrate animals.
What are the submission and Review Process?	Each IACUC member evaluates the proposed animal use activity and either: a. unconditionally approves the activity; b. approves the activity conditional upon some suggested modification(s); c. withholds approval of the activity; or d. asks for a meeting of the IACUC to discuss the protocol. *All protocols are approved for 3 years.*
How to submit an application?	Email to kcrain@butler.edu Or JH 144 Room E
What are the requirements?	• Be a faculty of Butler University • Have an academic or professional degree in a discipline based upon animal • Complete CITI training – "Working with IACUC" • Complete and Submit Application Form • Complete and Submit Qualifications for Animal Use Form

IBC (Institutional Biosafety Committee)

What is IBC?	**The Committee that provides oversight of all Butler University research or instructional activities involving recombinant DNA (rDNA), other biohazards.**
What has to be reviewed by the IBC?	All research and teaching activities with recombinant DNA or any biohazards agents.
What are the submission and Review Process?	• The approval is valid for 5 years. • Each year, the principal investigator is required to submit a protocol annual form to assess any changes that have been made during the previous year.
How to submit an application?	Email to kcrain@butler.edu Or JH 144 Room E
What are the requirements?	• Full time Faculty • Staff with specific qualifications • Complete and Submit the application form