The Office of Applied Research Faculty Playbook Fall 2023

About this Playbook

This playbook is meant as a guide to lead researchers at Jefferson University through the administrative processes of on-campus research. This playbook outlines the steps and services available to make various projects possible here at Jefferson, from a weekend sprint project to a year of deep study.

This playbook has been divided into the four stages of the project lifecycle: initiation, planning, execution, and close out. Please consult the Office of Applied Research at AppliedResearchOffice@jefferson.edu for immediate questions or concerns. You may also access additional information in our MyJeffHub community and on our website [here](#).

Thank you to Caitlin Hagan, who spearheaded this initiative to create the Applied Research Playbook.

Document Format Key

[Blue underline = jump to specific website links](#)

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Office of Applied Research

Opposed to the sole creation of new knowledge or expanding current knowledge, applied research addresses real-world and client-driven problems by using accumulated theory, knowledge, methods, and techniques.

The Office of Applied Research at Jefferson is dedicated to fostering hands-on educational experiences for students while simultaneously providing cutting-edge resources to industry and administrative support to both student and faculty researchers.

The Office of Applied Research, in collaboration with other university departments, provides support for coordinated efforts to assist in the proper design, planning, execution, and close-out of sponsored research and industry projects on campus.

Meet the Office:

Associate Provost for Applied Research: Dr. Ronald Kander
Ron.Kander@jefferson.edu

Applied Research Operations Manager: Andrea Echeverri Amaya
Andrea.Echeverri@jefferson.edu

Administrative Assistant to Office of Applied Research: Myka Byers
Myka.Byers@jefferson.edu

Internal Research Support Services

The Office of Research Support Services (ORSS)

ORSS supports researchers with submitting grant proposals and managing grants. The staff follows Standard Operating Procedures and Service Level agreements specific to their assigned grant submission and administration responsibilities.

ORSS pre-award staff supports principal investigators throughout the grant proposal process. These skilled professionals assist with proposal assembly and exert expertise in budget development, submissions, and award setup. Their responsibilities encompass reviewing proposal guidelines, coordinating with faculty and staff to gather necessary information, and ensuring the proposal adheres to all relevant requirements and regulations. The ORSS pre-award administrators also assist in budget development, helping principal investigators determine the financial resources needed for their research projects. They also work closely with a contract team to negotiate agreements when necessary. With their comprehensive knowledge of funding opportunities and application procedures, the ORSS pre-award team serves as vital partners in successfully securing research grants.

Similarly, ORSS post-award administrators are essential for effective award financial management. Post-award administrative staff within ORSS (specifically, Grant Administrators) work closely with faculty members, overseeing the day-to-day financial aspects of funded portfolios from initiation to completion. They ensure proper stewardship of funds, monitor expenses, manage budgets, and in collaboration with colleagues occupying the role of Research Administrator, Post-award, ensure compliance with financial regulations and sponsor guidelines.

The Office of Research Support Services (ORSS) (continued)

Together, post-award administrative staff works closely with colleagues in the Sponsored Programs Accounting Office (SPAO), responsible for invoicing, financial reporting, and cash application tasks. Through their expertise and attention to detail, ORSS post-award administrators provide valuable support in maintaining the financial integrity of awarded grants/contracts and maximizing the impact of research funding. More information regarding the ORSS can be found here.

For additional questions, please click the following URL and contact a team member assigned to provide administrative support for your department/campus. Note: to gain the name of a team member who provides administrative support to your department/campus, you must first be granted access. Please click the following link to gain access if you cannot see a list of team members after executing the following URL.

For <u>Pre-Award</u> Questions, East Falls Faculty Should Contact:
Holly Talley, ORSS Pre-Award Contact
Holly.Talley@jefferson.edu

For <u>Post-Award</u> Questions, East Falls Faculty Should Contact:
Denise White, Associate Director RACE team
Denise.White@jefferson.edu

For <u>Post-Award</u> Questions, Faculty in the Counseling and behavioral health department should contact:
Diane Glynn, Grant Administrator II
Diane.Glynn@jefferson.edu

The Office of Research Support Services (ORSS) (continued)

For industry sponsor contracts, all East Falls faculty should contact:
Susan Kravitz, Senior Research Administrator, Contracts
Susan.Kravitz@jefferson.edu

All Center City Faculty Should Contact their department's assigned Grant Administrator, whose contact information can be located here

Jefferson's Office of Institutional Advancement Corporate and Foundations Relations (CFR)

Jefferson's CFR team offers services for Jefferson faculty to seek and identify external funding from non-federal sources, including corporations with philanthropic intent, charitable foundations, and associations. CFR staff members are available to work with researchers and others to identify funding priorities and potential philanthropic partners and support the development of letters of intent (LOIs) and proposals. CFR team members are the point of contact for foundation, association, and corporate partners. More information regarding CFR can be found here, under the Extramural tab. All grant applications, regardless of sponsor, must be submitted through the Office of Research Support Services, even if the PI is receiving support from CFR staff. CFR staff and ORSS Pre-Award regularly work together to support and submit foundation applications. Note: please adhere to the ORSS' section in this document entitled, "Internal Deadlines" for proposal submissions.

All East Falls Faculty Should Contact:
Laura Stengel, Director of Foundation Relations
Laura.Mateer@jefferson.edu

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External Research Support Services
Hanover

Hanover provides research development, grant writing, and strategic advising support to various colleges and universities. Their professionals deliver customized proposal review, revision, and production support, while also helping to align strategic priorities to funding trends and opportunities at all levels. Hanover's services are designed to help faculty secure funding, with support across the lifecycle of the grant-seeking process. Hanover services are as follows:

Pre-Proposal Support: Funding prospect research, concept development, partner research and recommendations, outreach consulting

Proposal Development: LOI development, foundation, federal, state proposal production, program and research design consulting, unfunded proposal rewriting and resubmission, proposal production management

Proposal Review: Pre-review consultation, proposal narrative review for alignment, detailed proposal review and delivery memo, the opportunity to debrief recommendations

Proposal Revision: Includes all aspects of the Proposal Review + tracked changes for suggested revision to improve clarity and presentation.

If you want to learn more about Hanover or submit a 'Project Request Form'(PRF) to utilize Hanover's services, please contact andrea.echeverri@jefferson.edu or click here to access the PRF. Please let your post-award grant administrator know if the proposal you are writing was identified using a Hanover prospecting report.

Initiation

During the initiation stage of project development, the eligibility, feasibility, relevance, and collaboration around a topic should all be considered when designing the project and building a team. Defining project goals, deliverables, resources needed, and identifying a budget is essential. If you have identified your funding source as a Federal/State/or Local Government grant, please let the pre-award team know of your upcoming submission plans by completing the Proposal Intake Form as soon as known, but no less than the timeframes noted within the "Internal Deadlines" section.

Personal Eligibility

At the onset of project ideation, whether pursuing an individual topic of interest or being presented with an opportunity by a sponsor with a proposed scholarly or industry-connected project, faculty must ensure they are personally eligible to contribute to a project before starting any work.

To ensure compliance with federal and state regulations and university compliance mandates, faculty must adhere to their employment contract to determine their eligibility in a project.

Faculty members must receive approval from their dean for course exemption or release time documentation before taking on an extra workload of a research project. Please click here to access the pre-award course release document.

No Jefferson faculty can be reimbursed beyond their contractual agreement for work performed on sponsored projects. Therefore, faculty must determine the effort they contribute to each research project. No faculty can claim above one hundred percent effort at any given time.

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Personal eligibility (continued)

Faculty must know the time of year of each project execution as percent effort calculations can change from academic year to summer semesters.

During the execution of the project, effort report certification forms will be required. Please click here to access Peoplesoft HR effort reporting. Compensation for summer employment is determined individually depending on each faculty member's institutional base salary.

For more information, consult the ORA Manual. Questions regarding faculty workload may also be addressed to your college's Manager of Academics Operations (East Falls Faculty) or your college's fiscal officer (Center City Faculty).

Additionally, faculty and staff may find pertinent employment information on MyHR.

Contact Human Resources or your Human Resources Business Partner with further questions or concerns regarding individual eligibility based on compensation regulations.

Feasibility

The practicality of attempting a research project can be determined with assistance from ORSS and the ORA contract's office. This will depend on several variables, from available **funding**, the type of **contract,** necessary **agreements**, and what **resources** are required for the project. These variables regarding initiating and its **proposal** are addressed below. Still, faculty are advised to contact their ORSS pre-award administrator for any specific questions or concerns.

Relevance

Great projects apply to the larger efforts of the university, student population, industry, and community.

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Relevance (continued)

Projects may answer vital scientific or industry questions, fill the community's needs, or provide the student population with advanced educational and experiential experiences.

Projects and research investigations should build upon current information. This will ensure the proper foundation of information for project success and save the project team and any sponsors time and money.

Investigation into the relevance of a research idea and its current research status should begin with library resources provided through the Gutman Library and Scott Memorial Library.

Research guides and librarians with specialized topic knowledge are available to assist researchers in the discovery of archived information via the libraries' many databases and special collections.

Contact one of the East Falls Librarians or Center City Librarians for more assistance.

Librarians can be written into grants for in-depth project involvement after consult.

What kind of research can be performed?

Research at Jefferson University includes all departments and subject matters within the university. A variety of interdisciplinary projects are encouraged. Through the various resources provided by the university and the Office of Applied Research, defined in this playbook, faculty and staff are open to tackling projects ranging from a weekend sprint to projects embedded in a semester-long course or year-long (or more) deep study based on project requirements and goals.

Collaboration

There are several means of gauging institutional and individual interest in your project idea that can provide excellent value to your work. Institutional researchers can find other experts in various fields using the faculty research knowledge map program, Profiles. Researchers are all encouraged to create their accounts on Profiles.

Searchable accounts through Profiles and Jefferson's Researchers Page illustrate possible research connections and assist in improving project collaboration. It is advised that faculty update their accounts regularly to enhance collaborative efforts on and off campus.

Information on getting a Jefferson Research Page can be found here, complete per the instructions provided using Microsoft Word for site preparation/execution. Insert all information as requested in each section, taking note of the required sections and your options for these sections. Images and diagrams should be sent as attached. JPG files, noting where they should be placed in the text. To extract the video, movies must be provided separately as MP4 files via a shareable source such as BOX or YouTube.

Email your document, image files, and movie links to Jessica.Gutierrez@jefferson.edu.

Furthermore, on the East Falls campus, Research Advocates and Jefferson's GrantSuccess- Jefferson's Grant Mentoring Program can provide mentorship on research scope and methodology. The Internal Grant Mentoring Program supports upcoming submissions (new applications or resubmissions) and reviews grants. Please contact the program through the site and provide a refined version of a grant application before the submission deadline to ensure a timely review of the application.

Collaboration (continued)

The East Falls Research Advocates are the liaisons between The Office of Applied Research and the East Falls faculty. These individuals are vital in establishing faculty workshops and assisting with faculty needs, and sharing available research resources with faculty. For a current list of research advocates, please email AppliedResearchOffice@jefferson.edu.

Pivot is a specialty software that creates queries for strictly defined grants and funding opportunities for institutional research. The PI may contact a librarian for assistance in setting up a Pivot account to target external funding opportunities for their specific research interests. Faculty may also consult this video for guidance in setting up a Pivot account. Pivot can also help you find others on campus with similar research interests.

A consortium agreement with regional and national universities based on specific topics of interest provides the university and its faculty great collaborative opportunities to expand their research abilities through increased research equipment, funds, and expertise.

There are also extensive processes taken for a sub-award or consultants. Please reach out to your pre-award grant administrator for further proper steps. Additional collaboration resources can be found here.

Building a Team

When constructing the research team, there are several considerations to be made by the Principal Investigator **(PI)**. Should the PI require additional help with administrative and project-related tasks, they may hire a **project manager** (PM) to assist with sponsor and student relationship management, project budget, scheduling, and certain project management

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Building a Team (continued)

aspects. **PIs** need to include the salary of the **PM** in the grant request assuming there is no prohibition from the sponsor

Furthermore, undergraduate and graduate students may be hired or volunteer to participate in a project. Please note that no student may be paid for a project while simultaneously receiving course credit for their work on that project. Additional employment and **compliance** issues must also be considered when involving students in research, such as their total yearly workload, work during the academic year versus summer semesters, and necessary visas and compliance with **export control** regulations for foreign-born students. For a breakdown of different student positions and job codes, click here.

Principal Investigators (PI)

The university PI must be an employee holding the academic rank of professor, associate, assistant professor, or instructor at Jefferson or hold an emeritus appointment and uphold all compensation and compliance regulations during the project.

In addition to their academic and scholarly responsibilities, the PI serves as the project's main initiator, and it is assumed that the principal investigator will uphold all administrative and duties necessary to complete the sponsored project successfully.

Full-time employees who do not hold faculty rank can serve as PI with appropriate approval. Please reach out to your ORSS pre-award administrator for further information and documentation.

Please click here for the PI roles and responsibilities description and policies in Applied Research MyJeffHub Community.

Principal Investigators (PI) (continued)

Click here for Concur, Jefferson's electronic portal for employee reimbursements, expense reporting, and travel booking. The travel and non-travel expense reporting and reconciliation policy can be found here.

Project Managers (PM)

To relieve the administrative burden placed on the **PI**, project managers are responsible for assisting the PI with all manners of the project lifecycle. Their primary function is to act as project managers; as such, they may be delegated any administrative activities about their respective research projects. Such activities may include but are not limited to managing student researchers, tending to project budgets and research spreadsheets, handling reports for sponsors, and supplier management.

Post-award grant administrators are responsible for approving all post-award transactions and for all reporting and prior-approval requests. If the PI determines they will hire a PM, the PM's salary must be included in the grant request.

Student Researchers

Students may participate as researchers through enrollment in specific academic courses or extra-curricular activities. Students may also be hired as researchers or offered scholarships, as well as status as intern or graduate research assistants. Like faculty, students are expected to uphold all employment and **compliance standards.**

When hiring student workers, it is essential to follow Jefferson's protocol. If failing to do so, a student's financial aid may be put at risk.

Student Researchers (continued)

To access the student hiring form, click here.

For **undergraduate** students, please email the form to Myka Byers (Myka.Byers@jefferson.edu)

For **graduate** students, please email the form to Andrea Echeverri Amaya (Andrea.Echeverri@jefferson.edu).

Compliance Standards

Information regarding compliance regulations and your compliance with industry partners can be found here.

Conflicts of Interest

No university employee must hold a position that would compromise their unbiased activities within their role as a researcher. An employee should not receive any personal or financial gain from the research being performed. All project team members reflect the university and are expected to uphold its reputation and mission.

Additional information regarding conflicts of interest is available here. As an employee, you have a Conflict of Interest responsibility at an institutional level. When preparing a proposal, you will have a more specific Conflict of Interest form to fill out via Peoplesoft.

Conflict of Commitment

A *Conflict of Commitment* occurs when a person dedicates time to personal activities above the time permitted by policy or any other external activities that may detract from their primary Jefferson responsibilities. More information about conflict of commitment can be found here.

Ethics

To ensure that all projects at Jefferson reflect ethical conduct, all project members must adhere to policies regarding the compliance of all research employment and activities. During the initiation and planning stages of the project life cycle, faculty should consider the existence of any personal or professional **conflicts of interest and conflicts of commitment**, the use of **human or animal subjects**, and legislation surrounding **HIPPA** and **Export Controls,** as discussed in the **compliance** section. To be compliant, all certifications (i.e., institutional Conflict of interest (COI), proposal COI, Assignment of Inventions, Cayuse, Assurance Approvals [where applicable], etc.) are required in preparing a proposal and will be managed by your ORSS pre-award representative.

Measure of Project Success

Several metrics measures success. The project must meet an experiential, educational, and professional need defining achievement for students and faculty on the Jefferson campus.

This may present as an opportunity for student employment, publications for faculty and students, or an innovative idea that creates further research opportunities, patents, or licenses. Additionally, industry sponsor satisfaction is measured based on the timeliness and quality of agreed-upon deliverables and research execution.

Government and foundation satisfaction are likewise met through deliverables and work performed based dependent upon the funding provided.

Planning

The Office of Applied Research, in collaboration with the ORSS and other university departments, provides resources to assist in the proper design, planning, execution, and close-out of sponsored research and industry projects on campus. During the planning stage of project development, the **PI** should be aware of the steps outlined in this section. Find a complete pre-award process map outlining the overall planning phase [here.](#)

Proposal Intent

Once the **PI** has determined their **eligibility** and received proper approvals to pursue an opportunity, they must fill out the [Proposal Intake Form](#).

If you know of the project earlier than four weeks before the start date, especially a project embedded in a course, please contact your pre-award grant administrator earlier. The PI and all personnel charged to a grant must consult with the ORSS and file an Assignment of Invention (AOI), which is done via Peoplesoft.

There are several types of proposals. The pre-application proposal consists of a summarized form stating the **PI**'s intent to fund the project. New proposals, resubmissions, continuations, and renewals are also processed with assistance from the ORSS pre-award administrator, and clarification between these proposal types can be found in the [ORA Pre-Award manual](#).

Internal Deadlines

1. Notification of plans to submit an application **with** subcontracts: The pre-award team must be notified at least **three weeks** before the sponsor's deadline
2. Notification of application **without** Subcontract: The pre-award team must be notified at least **two weeks** before the sponsor's deadline
3. Applications (except for the research plan) must be completed and shared with your assigned ORSS Pre-Award point of contact within **five business days** of the sponsor deadline. Research plans should be submitted within **three business days** of the sponsor deadline to your assigned ORSS Pre-Award point-of-contact.

All requests to deviate from the above measures can be submitted to the Deputy Provost for Research Affairs, Dr. David Whellan (David.Whellan@jefferson.edu), for consideration. In your request, please include the name of the pre-award research administrator you are working with.

Please contact your Pre-award grant administrator for any additional questions.

Professional writing and editing are available through the [ORSS Scientific Editor](#). **Deborah L. Roussell, Ph.D.,** is the Scientific Writer in the Research Administration Center of Excellence. Her extensive scientific writing experience includes manuscripts, proposals, grants, patents, and reviews. Dr. Roussell's office is located in Jefferson Alumni Hall, JAH M-41A. She hosts Open Office Hours on Tuesdays from 1 – 2 p.m.; she may also be reached by phone at 215-503-5284 or by e-mail at Deborah.Roussell@jefferson.edu.

Agreements

Throughout negotiations with project sponsors, several types of agreements may be utilized by ORSS in conjunction with University Counsel. Agreements range from deliverable contracts to confidentiality and non-disclosure agreements to material and tech transfer agreements and data sharing arrangements. It is suggested that **PI** familiarize themselves with the agreements that may apply to their project's size and scope. NDAs are the first step to any industry project; please click here for the New Project Form. Consult with the ORA Contracts representative, Susan Kravitz, for more information.

Budget Development

In partnership with the **PI**, the **grant administrator** will establish the project budget based upon variables such as required labor hours and personnel effort for all involved personnel, including students and project managers, equipment costs, laboratory fees, supplies, travel expenses, conference and publishing expenses, copyright expenses, database research fees, editing fees, and any consultant fees. ORSS pre-award will help the PI identify any cost-sharing required in the proposal submission; the University does not support voluntary cost-sharing.

Furthermore, the budget greatly depends on the scope and intellectual property associated with a given project. It is also important to note that the budget must accommodate Facilities & Administrative costs (F&A Costs), also known as indirect costs (e.g., overhead), from the University. F&A rates are set based on the type of funding. Federal grants and external research are set at 56%; foundation rates are based on sponsor guidelines, and industry in-class rates are set at 35%. A sample budget can be found here.

Budget Development (continued)

Clarification on what F&A rate should be used is located in the [ORA General Manual](#).

Please click [here](#) for the 'Costing Guidelines for Sponsored Projects' in the ORSS MyJeffHub community.

For questions, contact your pre-award grant administrator.

Statement of Work

The **PI** is responsible for completing the technical components of the **proposal.** This includes a complete Statement of Work defining the deliverables to be presented to the sponsor at the project deadline.

Proposal Creation & Approval

During an initial meeting with your pre-award representative, the **PI's** interest in funding is determined.

A representative from the [library](#) may assist the PI in creating a Pivot profile. Please visit the Library's pivot homepage for more information.

All submissions must be linked with a Cayuse SP record. Cayuse SP is a project management software that allows TJU to track, route, and manage the lifecycle of a grant. The pre-award grant administer will develop a record for your proposal using the information provided by the PI regarding the project subject matter and scope. The PI should work with the pre-award grant administrator to complete the [Cayuse Access form](#). Please note, the Cayuse Access form only needs to be completed once to obtain access in the system. .

Once the Cayuse record has been developed, it will be routed to appropriate managers for approval and then routed to an ORSS pre-award representative. The Dean of the college(s), PI, and Administrator of East Falls must electronically approve via an automated e-mail they will

Proposal Creation & Approval (continued)

receive once the proposal is electronically routed. The Pre-Award administrator will help the PI complete the actual proposal for submission through whatever portal or method the sponsor requires. Most federal opportunities allow submissions through system-to-system solution software. Jefferson offers a version of this software called Cayuse 424 as a resource for applications. The Pre-Award administrator will create and complete the forms in all applications through information and documentation provided by the PI. In contrast, the statement of work and all technical portions of the proposal are due at least **three business days** before. For questions or concerns, contact your pre-award grant administrator.

A detailed list of each member and department's roles and responsibilities regarding research and its administration at Jefferson can be found here.

Negotiations

At the onset of industry sponsor discussions, faculty are advised to direct all discussions regarding financial negotiations to the ORA Contracts Representative, who references the Industry Relationship Policies.

Additionally, before discussing project ideas, the faculty member is advised to consult with the ORA Contracts Office regarding a non-disclosure agreement to protect their intellectual property (IP) and the university.

The determination must be made regarding whether an agreement with the company has been established, such as a master agreement. With assistance from your **ORA Contracts Representative,** you can determine whether a standard agreement with the company or entity currently exists. If one still needs to be obtained, notify your ORA departmental contact.

Negotiations (continued)

The type of agreement strongly depends on the size, scope, necessary funding, legal aspects of a project, the interests of the sponsor, and the type of project. Some projects with limited IP constraints can often be initiated in as little as two weeks, depending on sponsor cooperation and expectations.

Additionally, the **PI** or other faculty cannot accept awards or sign agreements on behalf of the University. Before an award is accepted, the ORSS must review and approve the award notification or agreement with accompanying terms and agreements. For assistance, contact your **ORSS pre-award or contracts representative**. Note: Sherry McDaniel, Associate Director, Pre-Award, should be noted as the authorized signatory if an application should require institutional sign-off.

Account Establishment

After ORSS accepts awards on behalf of Jefferson University, the pre-award administrator will notify the post-award grant administrator regarding the status of the proposed budget and compliance with the proposal. The ORSS must ensure that all projects comply with university and federal standards to protect the university's non-profit status and protect the intentions of the project and its faculty and sponsors.

The ORSS representative will forward the award notice to the post-award administrator after a complete review. This representative is responsible for notifying the Sponsored Programs Accounting Office (SPAO), where the award is activated into Jefferson's accounting system.

Account Establishment (continued)

The post-award administrator will inform the **PI** and all necessary departments of the new account number via e-mail; at this time, the account is fully established.

Further details regarding this process can be found at the end of the ORA Pre-Award Manual and throughout the ORA Post-Award Handbook.

Funding

Projects are typically categorized as grants, contracts, or gifts. Find a comprehensive list of funding options here. Federal, state, internal grants and industry-sponsored projects are managed through the ORSS. Any foundation grants are managed with CFR and the ORSS. CFR manages any foundation gifts.

Grants

Grants may be sought through state, federal, foundations, city, and industry contract resources with assistance from your grant administrator. Click here for internal grant opportunities.

Contracts

Defines any funds tied to a term and condition that a distinct deliverable and associated timeline will be associated with the project. The ORSS explicitly defines these deliverables and Statement of Work contractually with the project sponsor once funding for all project necessities has been determined.

Before submitting any funding requests, the Office of Institutional Advancement will also be contacted for a comprehensive list of foundations offering funding.

Gifts

Any funds without direct connection to a deliverable are considered gifts to the university and are managed through the Office of Institutional Advancement. Further clarification of the definition of a grant versus a gift may be found in the ORA General Manual where a flowchart can help make a determination. For more information, please contact your **CFR Representative**.

Human Subjects

Before starting any research, interaction, recruitment, or screening of human subjects or their material or personal information, one of the university's IRB must review and approve the project. This is to ensure the health and well-being of individuals involved in health or behavioral research and to comply with all federal regulations. More information is available here.

HIPPA

Any study involving the personal health information of human subjects must comply with the Health Insurance Portability and Accountability Act (HIPPA), a law focused on protecting an individual's health record and information.

Contact the compliance office immediately if your research project involves human subjects and health information. More information is available here.

Animal Subjects

Similarly, any research using animal subjects must be approved and adhere to the guidelines defined by the university. More information is available here.

Export Control

Federal regulations prohibit the release of code, software, and various technological advancements to foreign citizens or nations. Such regulations apply to students and faculty and should be considered when developing your research team, especially if your research involves technological developments.

More information is available here.

Projects Embedded in Courses

If a project is associated with a course, faculty must consult with their program director and dean about establishing the course and its subsequent timeline and educational goals. This will also involve collaboration with the Registrar's Office.

Notably, any industry projects that occur exclusively in conjunction with the execution of a course do not count separately toward a faculty member's percent effort. Their percent effort for that project will effectively be zero as it is accounted for within the faculty's employment contract.

Percent effort should be discussed with the faculty's operations officer, dean, and program director. Please contact your college's Manager of Academic Operations or financial officer for workload management information.

If a project is associated with a class, propriety discretion is allowed to be added to the class. For example, some classes may sign non-disclosure agreements stating that they will not disclose certain information, such as the company's name, when presenting and discussing the project outside the classroom.

If a project is embedded in a course, please provide your pre-award administrator with the course name and course number.

Execution

During the execution stage of the project, the **PI** and **PM** (if applicable) should be aware of regulations in funds and data management, equipment resources, travel policies, and marketing opportunities outlined in this section.

Starting Work

Per the [ORA General Manual](#), work on a sponsored project can only begin after an authorized University Official (typically, Sherry McDaniel or Ashley Marciano, Associate Directors of Pre-Award) accepts the award. Once the award is accepted, ORA will notify the PI of the official start date for the project. Limited exceptions to this rule exist but with increased responsibility and risk to program funding.

Fund Management

As the project progresses, the **PI** expends funds according to the scope of work and the budget that has been established. The RACE Grants Administrator approves potential charges to awards while engaging their ORA post-award counterpart to ensure financial compliance. SPAO requests reimbursement of the award's expenditures

The ORA post-award administrator monitors awards for compliance and submission of reports, and SPAO provides financial reporting and cash recovery throughout the execution of the project.

Furthermore, the **grant administrator** will manage awards, alert the PI with any concerns, and assist in determining the award burn rate to prevent hasty use of an award. Please click [here](#) for Jefferson's Policy for a PI and PI Roles and Responsibilities in the Applied Research Community on MyJeffHub.

Fund Management (continued)

It is important to note that the PI should fully engage with the ORSS in managing grant funds. For additional information, please contact your **RACE Grant Administrator administrator.**

Equipment

A complete Jefferson's Center City Core Facilities and Service Centers list is available here. Capabilities for the East Falls campus can be found here. Inquiries regarding current capabilities on the East Falls campus may be emailed to: AppliedResearchOffice@jefferson.edu.

Data Management Plan & Resources

During project execution, the library's databases and services may prove very useful to researchers. Assistance with biostatics and other research resources are outlined here.

Box is a university cloud-based data storage program that may be used for storing and sharing documents. Please note that it is not advised that this program be used for projects involving potential patents as this program does not meet current patent standards.

Jefferson Electronic Research Notebook (ERN) is a collaborative, secure means of sharing data within a project team.

Unlike other programs that create dilemmas when users either retire, graduate, leave the university, or take a sabbatical or leave of absence, Jefferson ERN allows other teammates to access stored data posted by the absent individual.

Additionally, this program automatically time stamps uploaded work. This is beneficial for accountability within a team.

Data Management Plan & Resources (continued)

Time stamps are an essential mandate of research that is grant-funded or requires timely updates on the creation of deliverables to sponsors and essential for any project under patent consideration. Furthermore, LabArchives complies with HIPPA and the federal funding agency data management policy.

For more information and assistance developing a data management plan for your research, please consult a librarian. Additional information regarding data management may also be found [here](#).

Travel

Contact your RACE Post-award administrator and your respective college's Office of Operations or Manager of Academic Operations before traveling. The correct authorization needs to be permitted in [Cayuse](#) and college records. Please click [here](#) or log into our Applied Research Community in MyJeffHub to access 'International Travel Policies', 'Travel & Non-Travel Expense Reporting and Reconciliation,' 'Unallowable Costs for Sponsored Projects,' and 'Checklist for Travel Expense Reports.'

All travel expenses must be approved through the [Concur](#) system by the **RACE Post-award administrator** after obtaining college approval.

Marketing, Public Relations, and Publication

Researchers and sponsors at Jefferson University have access to the Marketing and Public Relations Department to assist with outward-facing aspects of research projects, such as creating press releases, promotional material, or branding assistance.

Marketing, Public Relations, and Publication (continued)

Should your project require marketing assistance, contact your college's marketing manager. The Jefferson social media policy can be found [here](#).

Reach out to the Academic Commons early in your process. They can help with many areas, from finding a venue to publish your results to helping brainstorm and revise your manuscript for publication. Librarians are available to help you follow and meet the funder requirements for publication.

Close Out

During the closure stage, the **PI** and **PM** should be aware of the steps involved with administrative and deliverable closure and archiving resources.

Administrative Close Out

The **PI** is responsible for the final progress report and prepares other sponsor-required documents as defined in the original sponsor contract agreement. The **RACE post-award representative** ensures that all reporting requirements of the sponsor are met. Final reports are due within the allotted time discussed with the sponsor after project termination or otherwise noted within the sponsoring organization's policies. Administrative closure may vary from project to project.

More information and a complete, color-coded list of grant closure requirements can be found at the end of the [ORA Post-Award Handbook](#).

Deliverable Close Out

The deliverable and how it is transferred depends on many variables, including the scope of the project, who is funding the project, the type of funding, and whether the project is associated with the course.

The original contract must outline all aspects of what is to be delivered, how, and the sponsor's or grant's full expectations.

Sponsor satisfaction is measured primarily through the transfer of an agreed-upon deliverable. This may be a physical item, intellectual property, or data sets proving work toward an in-depth research question.

Archiving

Upon completing your research project, librarians can assist with establishing your project on the Jefferson Digital Commons, an open-source platform to display completed Jefferson University projects and their abstracts.

Data sets of all complete and in-progress research projects may also be discussed with a librarian and provided to ensure their proper management. Furthermore, sharing such data sets assists in upholding the validity of the research performed to date and may assist in future research endeavors at the university. The Office of Applied Research can answer questions regarding archiving or dissemination of projects.
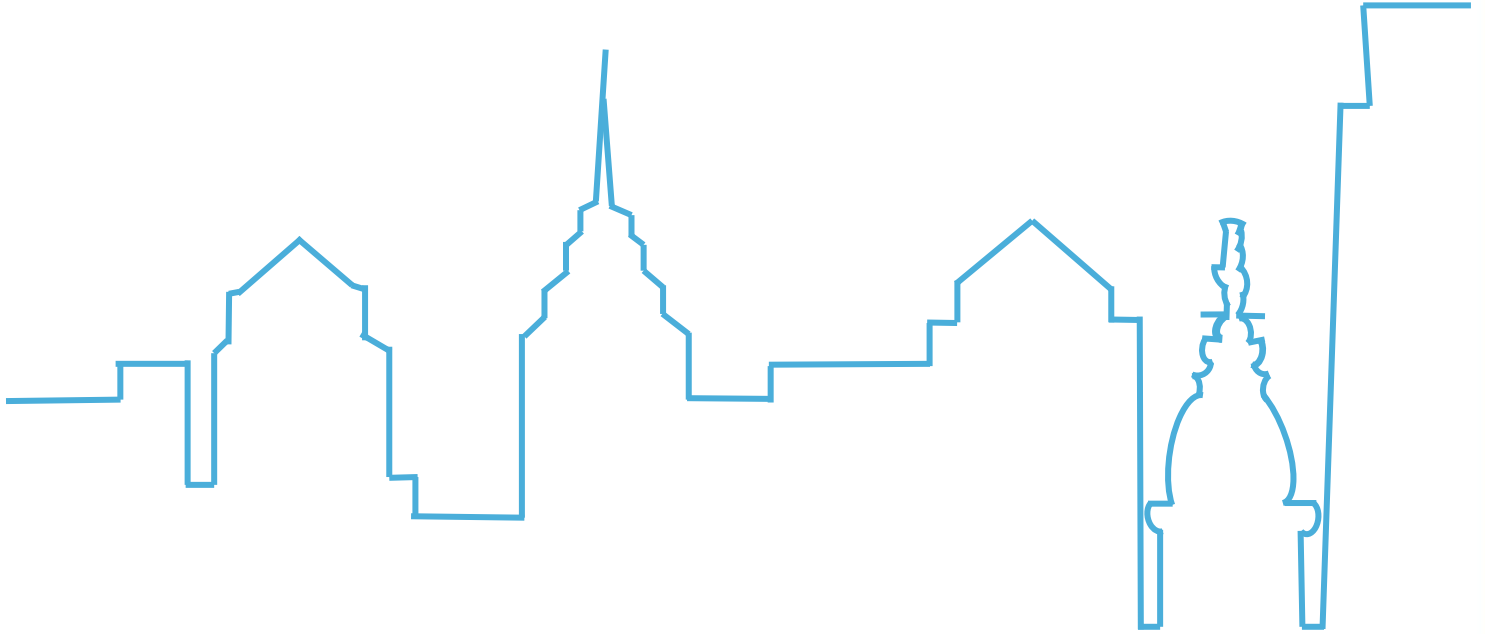
Academic Commons:

Academic Commons includes the Libraries Office for Professional Writing, Publishing & Communication, and other services. The Academic Commons "Scholarly Support at Thomas Jefferson University" digital guide can be found here.

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