Legacy Research Institute Handbook

LEGACY HEALTH | LEGACY RESEARCH INSTITUTE

CONTENTS

1 Introduction

Individuals who conduct research at Legacy Health have an important public and personal responsibility to manage those projects carefully, responsibly, and with integrity. This handbook is designed to provide investigators at Legacy Research Institute (LRI) with a quick reference for general questions, guidance on LRI administrative services, sponsored project-related practices, and identify resources available to help investigators with their research.

We aim to use best practices typical of our peer institutions to ensure outstanding professional services and assistance to investigators and their staff. LRI administration will provide an appropriate level of review to ensure that activities remain in compliance with the policies of Legacy Health and external stakeholders (funders, collaborators, etc.).

To ensure that funds provided to support research and other projects from external sources are administered in accordance with established Legacy Health, State, and Federal policies and procedures, **LRI administration must be made aware of all activities designed to attract or secure funding**, regardless of where the application is being submitted. For Federal grants, LRI administration has the authority to submit proposals, agree to commitments on behalf of Legacy Health, and ensure that all research is conducted as proposed and in accordance with regulatory guidelines.

This handbook is intended to be an evolving reference work and may be updated. Please check to make sure you are working with the latest version containing the most recent information.

Note: Links to Legacy policies access the LHS.org Intranet site; if you are not working on a computer connected to the lhs.org domain, you will be asked to log in with your Legacy username (LHS.org email) and password.

2 Sponsored Projects

2.1 Definition and Governing Authorities for Sponsored Projects

A project that meets any of the following criteria is considered a “sponsored project” and will be administered accordingly:

a) The project commits Legacy Health to a specific line of scholarly or scientific inquiry, typically documented by a statement or scope of work.

b) A specific commitment is made regarding the level of personnel effort, deliverables, or milestones.

c) Project activities are budgeted, and the award includes conditions for specific formal fiscal reports and/or invoicing.

d) The project requires that unexpended funds be returned to the sponsor at the end of the project period.

e) The sponsor identifies a period of performance as a term and condition.

NOTE: All research and related activities that involve human subjects, laboratory animals, or biohazards, whether considered a sponsored project or not, must be reviewed by the appropriate LRI committee for compliance with Legacy Health policies and governmental regulations.

Sponsored projects are required to comply with the sponsor’s (e.g., NIH, NSF, Legacy Foundation), federal/state, and Legacy Health policies and regulations.

- The NIH Grants Policy Statement (NIHGPS) makes available in a single document the policies that constitute the terms and conditions of NIH grant awards. By accepting an award, grantees agree to comply with the requirements in the NIH Grants Policy Statement, except where the notice of award states otherwise.
- The Uniform Guidance – a "government-wide framework for grants management" – is an authoritative set of rules and requirements for Federal awards that synthesizes and supersedes guidance from earlier OMB circulars.
- Legacy Health policies can be accessed here: Policies and Procedures (Employee Intranet)

2.2 Principal Investigator and Co-Investigator Eligibility

For the purpose of applying for grants/sponsored projects, a principal investigator (PI) at LRI is the person who, in the event of an award, has the full and final responsibility for safely executing, administering, and financially managing the project as proposed and in accordance with the terms and conditions of the award, as well as all requirements described in Section 4: Research Integrity, Compliance, and Intellectual Property.

A person holding any of the following positions can serve as a PI or Co-I: Research Physician, Department Chair, Senior Scientist, Associate Scientist, Assistant Scientist, Staff Scientist (Assistant, Associate, or Senior), Post-doctoral Researcher, Graduate Student (when applicable toward predoctoral NRSA funding), Director, or Vice President.

3 Funding Opportunities and Due Dates

3.1 NIH Funding

The Senior Grants Specialist is available to provide guidance and assist investigators with all aspects of Federal grant applications.

Funding Opportunities

- Grants.gov has a comprehensive search tool for discovering funding opportunities, with guidance for making your searches more effective.
- You can also sign up to have funding opportunities and other grant information and notices sent directly to you via email. The NIH also has a listserv where you can sign up for emails on numerous subjects. It is also recommended that individuals subscribe to the NIH Guide to Grants and Contracts to receive weekly updates of new funding opportunity announcements (NOFOs) and notices.

NIH Grant Application Due Dates

Always check the Notice of Funding Opportunity (NOFO) for specific due date information. If the NOFO says "standard dates apply," refer to the table below or the due dates link, and search for the activity code specified in the title of the NOFO.

NIH Standard Due Dates	**Cycle I**	**Cycle II**	**Cycle III**
R01 *New*	February 5	June 5	October 5
R01 *Renewal, resubmission, revision*	March 5	July 5	November 5
R03, R21, R33, R21/R33, R34 *New*	February 16	June 16	October 16
R03, R21, R33, R21/R33, R34 *Renewal, resubmission, revision*	March 16	July 16	November 16
T & D: NRSA Awards/Other Training Grants *All – New, Renewal, resubmission, revision*	January 25	May 25	September 25

- Grant applications are due by 5:00 PM local time at the applicant organization on the specified due date. **Note: this deadline is imposed by NIH and is firm.**
- When a postmark/submission date falls on a weekend, Federal holiday, or Washington, DC area Federal office closure, the application deadline is automatically extended to 5:00 PM local time on the next business day.
- Note that renewal/resubmission/revision applications may have different due dates than new applications.
- The NIH RePORTER is an online, searchable database of NIH-funded research projects, publications, and patents resulting from NIH-funded grants, as well as other useful information (https://report.nih.gov/).
- USAspending.gov is the official source for spending data for the U.S. Government. Its mission is to show the American public what the federal government spends every year and how it spends the money.

NIH Funding Cycles

	Cycle I	Cycle II	Cycle III
Application Due Dates	January 25 - May 7	May 25 - September 7	September 25 - January 7
Scientific Merit Review	June - July	October - November	February - March
Earliest Project Start Date	September	April	July

Related: NIH Standard Due Dates | NIH RePORTER | Grants.gov

Contact: Senior Grants Specialist: Joanne Couchman, jcouchma@lhs.org, 503-413-2460

3.2 Legacy Foundations

All staff who are eligible (see section 2.2: PI Eligibility) may submit a request for funding from Legacy Health Foundations. These are typically submitted in November and notification of awards take place before the beginning of the new fiscal year. The grants are funded at the **start of Legacy's fiscal year, which is April 1st**.

Legacy Foundation awards are typically highly translational proposals that have great potential to positively affect patient outcomes in the near future. Legacy Foundations also encourage short-term *high-risk/high-reward* proposals that can generate pilot data to strengthen future external grant proposals. Although multiple years of funding can be requested, new applications, along with progress reports, must be submitted each year. Continued funding for multi-year projects is not guaranteed.

Notes:

- Legacy Foundation grants support direct costs associated with a project (salaries, laboratory supplies, animal purchase, breeding, per-diems, etc.), but **do not generate indirect charges to support LRI facility costs or administrative functions.**
- **Devers staff** should contact Katie O'Neill or Dr. Steven Mansberger for Legacy Foundation submission instructions and questions.

Related: Philanthropy Intranet Page - Internal Foundation Grants

LRI Contacts: Assistant Scientist: Danielle Osborne, PhD, dosborne@lhs.org, 503-413-2474
Manager of Research Finances: Angie Urrutia, aurrutia@lhs.org, 503-413-4194

Devers Contacts:
Sr. Director of Clinical and Support Services: Katie O'Neill, koneill@lhs.org, 503-413-7225
Devers Chenoweth Chair: Steven Mansberger, MD., MPH., smansberger@deverseye.org, 503-413-6451

3.3 External Foundations and Other Not-For-Profit Sponsors

LRI receives funds from several foundations and other not-for-profit sponsors. The terms and conditions of these awards can vary widely. PIs should review the terms and conditions of awards, including the entity's policies on intellectual property, prior to submitting applications to these sponsors. This type of proposal should be reviewed by LRI Research Administration and then sent to the Legacy Office of Philanthropy for submission. ***Note: The Legacy Office of Philanthropy has many connections with external foundations and sponsors, and because of these connections, it is important to include staff from this Office early in your discussions.***

Related: Philanthropy Intranet Page - Foundation Grants

Contact: Office of Philanthropy: Hollie Allen, hallen@lhs.org, 503-413-7068
Senior Grants Specialist: Joanne Couchman, jcouchma@lhs.org, 503-413-2460

3.4 Private Sponsors of Research

Many private companies are interested in interacting with LRI researchers or conducting research studies at LRI. Collaborations and partnerships with industry are encouraged. The PI may have informal contact with representatives of an outside sponsor to explore the possibility of receiving the sponsor's support. While such contacts are encouraged, no commitments binding LRI or Legacy Health may be made until a formal proposal has been processed and approved by the VP of Research. To facilitate such arrangements, while avoiding the many pitfalls inherent in these relationships, contact the VP of Research as early as possible in your proposal discussions. If animal studies are to be proposed, the LRI Attending Veterinarian should be included in these initial discussions. **If nucleic acid manipulation or pathogenic use at LRI is proposed, the LRI Institutional Biosafety Committee Chair should be included in these initial discussions.**

Contacts: Vice President of Research: Shaban Demirel, PhD, sdemirel@lhs.org, 503-413- 4873
Director, Comparative Medicine: Jennifer Wilk, DVM, DACLAM, jenwilk@lhs.org, 503-413-4732
Research Laboratory Safety Specialist: Peggy Smoot, MS, GSP, msmoot@lhs.org, 503-413-5409

4 Research Integrity, Compliance, and Intellectual Property

4.1 Human Subjects Research - Institutional Review Board (IRB)

The Legacy Institutional Review Board (IRB) must review all proposed research projects involving human subjects that are conducted at any Legacy Health facility by Legacy staff or associates. Operating under a Federal-wide Assurance (FWA) issued by the Office for Human Research Protections, Legacy Health IRB's primary mandate is to minimize risks for human participants in research studies while supporting Legacy staff in the ethical conduct of research. Legacy Health has two standing IRBs (a third committee is currently *mothballed*), each of which meets monthly. **Ample time should be allowed for the proposal/protocol to be reviewed. In general, the process can take 1-2 months to complete, and research using human subjects cannot begin until approval is granted by the IRB.**

Legacy Policy: 100.18 HUMAN SUBJECTS' PROTECTION & INSTITUTIONAL REVIEW BOARD
Forms: LRI IRB Forms
Contacts: irbsubmissions@lhs.org
Research Regulatory Specialist: Rebecca Young, MA, CCRP, reyoung@lhs.org, 503-413-5355
Research IRB Coordinator: Erin Babcock Musick, embabcoc@lhs.org, 503-413-2491
Vice President of Research: Shaban Demirel, PhD, sdemirel@lhs.org, 503-413-4873

4.2 Institutional Animal Care and Use Committee (IACUC)

Legacy IACUC reviews all activities and proposals involving the use of live vertebrate animals to ensure humane care and use in compliance with the policies of Legacy Health, the United States Department of Agriculture's Animal and Plant Health Inspection Services, the Office of Laboratory Animal Welfare, and other governmental agencies or accrediting bodies. In addition, the IACUC will inspect (semi-annually) all LRI laboratories where animals are housed, tested, or undergo surgery and will ensure that all personnel involved in animal research have received proper training in the care and use of lab animals**. Research protocols must be approved by the IACUC before any research can be conducted.**

The IACUC meets monthly to review all proposed uses of live vertebrates for research. **Proposals should be submitted a minimum of 1 month prior to the next scheduled IACUC meeting** in order to be included. Proposals typically receive a veterinarian pre-review, with the opportunity to make edits prior to submission to the full committee. Additionally, some minor protocol amendments can be handled by email through the Designated Member Review process and do not require waiting for a full committee meeting. **Ample time should be allowed for the proposal/protocol to be reviewed. In general, the process can take 1-2 months to complete, and research using live vertebrate animals cannot begin until approval is issued by the IACUC.**

All IACUC activities are administered using the TOPAZ online system. New users will be provided access information, login credentials, and TOPAZ training by the veterinarian, Dr. Jennifer Wilk.

Legacy Policy: 100.16 ANIMAL WELFARE IN RESEARCH ACTIVITIES
Contacts: IACUC Chair, Assistant Scientist: Danielle Osborne, Ph.D., dosborne@lhs.org, 503-413-2474
Director, Comparative Medicine: Jennifer Wilk, DVM, DACLAM, jenwilk@lhs.org, 503-413-4732

4.3 Nucleic Acid Manipulation or Pathogenic Use - Institutional Biosafety Committee (IBC)

The Legacy Institutional Biosafety Committee (IBC) must review all proposed research projects involving nucleic acid use and manipulation or the use of pathogenic organisms that are conducted at any Legacy Health facility by Legacy staff or associates. The Legacy IBC operates under the approval of the NIH Office of Science Policy. This is a requirement regardless of the research funding source because LRI receives NIH grant funds and must comply, at a minimum, with NIH-OSP guidelines for *all* research. Legacy Health IBC's primary mandate is to ensure safe use of nucleic acid products and pathogenic organisms as well as minimize risks to the environment, community, and world. LRI has one standing IBC, which meets quarterly and ad-hoc. **Ample time should be allowed for the proposal/protocol to be reviewed. In general, the process can take 1-6 months to complete, and research using nucleic acid manipulation or pathogenic organisms cannot begin until approval is granted by the IBC.**

LRI Policy: Legacy Research IBC Manual

Forms: LRI IBC Initial questionnaire Forms or IBC Infectious agents form

Contacts: Research Laboratory Safety Specialist: Peggy Smoot, MS, GSP, msmoot@lhs.org, 503-413-5409

4.4 Financial Conflict of Interest (FCOI)

The objectivity of research and other activities funded by the Public Health Service (PHS) is of paramount importance and the basis for obtaining and maintaining public trust. All such activities must be free of any potential undue influence arising from the private financial interests of those involved in the design and conduct of PHS research. All Legacy Investigators must complete FCOI training through the CITI online training program every 4 years. New Legacy Investigators will be required to complete training prior to initiating PHS-funded research at Legacy.

FCOIs must be disclosed to the Senior Grants Specialist or Regulatory Specialist at the following times:

a) When initially hired as a Legacy Investigator on a PHS-funded project.
b) If the Investigator does not already have a COI declaration on file and they agree to be part of a new proposal/application (including any subcontract agreement) to be submitted for PHS funding.
c) At least annually while PHS-funded (at the beginning of each calendar year).
d) Within thirty (30) days of acquiring or discovering any new Significant Financial Interest(s).

Disclosures are reviewed by the Senior Grants Specialist who determines if referral to the full Conflict-of-Interest Committee is needed. The Conflict-of-Interest Committee, composed of senior administration staff members, reviews investigators' disclosures to determine whether a researcher's Significant Financial Interest could affect the design, conduct, or reporting of the research activities and determines what conditions or restrictions, if any, should be imposed to manage such interests.

In addition, potential conflicts of interest must be disclosed to a Legacy Health corporate compliance officer separately from LRI's requirements, per policy 100.67 Standards of Business Conduct.

Legacy Policy: 100.88 CONFLICT OF INTEREST IN PUBLIC HEALTH SERVICE FUNDED RESEARCH

Related: 100.67 STANDARDS OF BUSINESS CONDUCT

Forms: LRI FCOI training, disclosure forms & FAQ

Contacts: Senior Grants Specialist: Joanne Couchman, jcouchma@lhs.org, 503-413-2460
Research Regulatory Specialist: Rebecca Young, MA, CCRP, reyoung@lhs.org, 503-413-5355

4.5 Disclosures in Oral and Written Communications

Whenever you give a presentation or publish a paper, the content of which is based on the results of sponsored research, an employee or appointee of LRI who conducted or participated in the research shall conspicuously disclose the identity of each sponsor of the research. The types of presentations this applies to include, but are not limited to, podium presentations, poster and paper presentations, testimony, journal articles or other types of printed material, news stories, posting information on a website, social media posts, etc.

4.6 Ownership of Intellectual Property

Ownership of any intellectual property developed, including inventions (whether or not patentable), copyrightable materials, computer software, and tangible research materials, is governed by the terms of any sponsored research agreement and Legacy Health's Intellectual Property Policy.

The Research Regulatory Specialist and Vice President of Research are responsible for the identification, protection, and commercialization of the intellectual property generated by Legacy Health staff at LRI. In this capacity, the Research Regulatory Specialist acts as the LRI Patent Officer and is responsible for accepting all disclosures of new inventions and other discoveries. They will evaluate disclosures and work with inventors to develop a strategy to protect intellectual property and license the discovery for commercial development if appropriate. They are also responsible for complying with any sponsor terms and conditions related to the management of intellectual property.

Legacy Policy: 100.37 INTELLECTUAL PROPERTY POLICY

Contacts: Research Regulatory Specialist: Rebecca Young, MA, CCRP, reyoung@lhs.org, 503-413-5355
Vice President of Research: Shaban Demirel, PhD, sdemirel@lhs.org, 503-413-4873
Senior Grants Specialist: Joanne Couchman, jcouchma@lhs.org, 503-413-2460

4.7 Research Misconduct

Federal regulations require that LRI assumes primary responsibility for the investigation of allegations of research misconduct and that LRI adequately protects the rights of those who report allegations of research misconduct as well as those who are accused of such misconduct. The Legacy Health Misconduct in Research Policy describes the roles of the Vice President of Research, Board of Inquiry, Senior Investigator, and Board of Investigation in the review and investigation of such allegations. The Vice President of Research appoints the members of each Committee and will administer the procedures as set forth in the Misconduct in Research Policy.

Legacy Policy: 100.33 MISCONDUCT IN RESEARCH
100.26 FRAUDULENT USE OF RESEARCH FUNDS

Contact: Research Regulatory Specialist: Rebecca Young, MA, CCRP, reyoung@lhs.org, 503-413-5355

5 Laboratory Safety, Chemical Hygiene, and Biosafety

The PI holds the primary responsibility for ensuring laboratory safety, chemical hygiene, and biosafety. They are strongly encouraged to collaborate with the research laboratory safety specialist to access training, draft documents, and assess and mitigate risks effectively.

Legacy Policy: 300.11 HAZARDOUS MATERIALS MANAGEMENT PLAN

Resources: Legacy Research Biosafety Manual | LRI IBC Manual | LRI IBC Forms
LRI Chemical Hygiene Plan | Legacy Research Safety Program Documents

Contact: Research Laboratory Safety Specialist: Peggy Smoot, msmoot@lhs.org, 503-413-5409

5.1 Laboratory Safety

The Legacy Research Safety Committee convenes monthly to support departments in sustaining a safe work environment. Departmental responsibilities include:

- Appointing a Department Safety Officer (DSO) to represent the safety interests of research staff at the monthly Legacy Research Safety Committee meetings.
- Prompt reporting of injuries, near misses, and other safety concerns for appropriate follow-up and resolution.
- Providing all staff with access to the LRI Biosafety Manual, safety committee minutes, emergency response plan, and other safety policies.
- Ensuring all staff comply with mandatory safety training.

5.2 Chemical Hygiene

LRI laboratories adhere to OSHA standards for chemical hygiene and hazard communication. The LRI Chemical Hygiene Plan offers guidance for compliance with these regulations and policies. An assigned chemical hygiene officer oversees the review of chemical inventories, usage, storage, and disposal. Departments are required to submit SDSs for new chemicals to the chemical hygiene officer for review, and must also update their chemical inventory annually and post it to the LRI Safety Program SharePoint site. Chemical Safety Data Sheets (SDSs) and locations are managed through MSDS Online, accessible to all LRI staff from workstations and via a mobile application. The chemical hygiene officer has also developed Standard Operating Procedures (SOPs) for handling known particularly hazardous substances housed at LRI, which are available here. Should additional SOPs be necessary, please contact the chemical hygiene officer at msmoot@lhs.org.

5.3 Biosafety

LRI maintains compliance with OSHA regulations, the NIH Guidelines for Research Involving Synthetic or Recombinant Nucleic Acid Molecules (NIH Guidelines), Biosafety in Microbiological and Biomedical Laboratories (BMBL), 6th Edition, and other applicable regulations. The LRI Institutional Biosafety Committee (IBC) reviews all work involving recombinant or synthetic nucleic acid molecules in compliance with the NIH Guidelines and all work involving infectious agents (RG1 or RG2 only, higher risk groups cannot be worked with on LRI site).

The IBC meets quarterly and *ad hoc*. Protocols should be submitted to the research laboratory safety specialist at least two weeks prior to the meeting at which the protocol is scheduled for review. The safety specialist will pre-review the protocol and work with the PI if there is additional information required before committee review. See the LRI IBC Manual for information. ALL Laboratory workspaces that are used for research are covered by the *NIH Guideline*s, regardless of where funding is acquired, and are inspected at the initiation of use, as needed, and annually thereafter. The *BMBL* and *NIH Guidelines* require biosafety manuals for laboratories requiring BSL-2 practices, and LRI's can be found here. Contact the research laboratory safety specialist with questions.

Additionally, use of the following biohazardous materials should be reported to the research laboratory safety specialist at least two weeks prior to project initiation:

- Human cell culture work moving to a new space or being conducted by a new PI or workgroup.
- Biological pathogens and toxins.
- Use of nucleic acid manipulation.
- Other potentially biohazardous material.

5.4 Radiation and Laser Safety

The LRI Radiation Safety Committee is responsible for policies and practices regarding the receipt, use, monitoring, and disposal of radiation-producing devices. Use of radiation-producing devices should be coordinated through the radiation safety officer prior to starting use.

The Laser Program oversees use of laser-emitting devices. Use of laser-emitting devices should be coordinated through the LRI laser safety site contact.

Legacy Policy: 909.6001 USE OF LASERS

LRI Laser Safety Site Contact: Brad Fortune, OD PhD, bfortune@deverseye.org, 503-413-1198

Radiation Safety Officer: Matt Amen, mamen@lhs.org, 503-692-7351

6 Required Research Training

In addition to the mandatory education for Legacy Health employees, LRI mandates additional training tailored to an individual's specific responsibilities and in accordance with federal or state regulations. Assigned modules will be available in CITI and Legacy E+.

Accessing Training via CITI:

- If you have a Legacy Health CITI account, log in here: https://www.citiprogram.org/index.cfm?pageID=14
- If you don't already have a CITI account, click on 'register' and follow the prompts in order to create one.
- Once logged in, select the required courses from the list and add them to your course list.
- Launch a course by selecting it from your course list.

Mandatory CITI Modules:

- **For PIs and investigators involved in research covered by the *NIH Guidelines for Research Involving Synthetic or Recombinant Nucleic Acid Molecules*** (*NIH Guidelines*), **due every 3 years:**
  - NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (ID 13493)
    - Access to, and requirements for, other biosafety and biosecurity courses should be discussed with the research laboratory safety specialist.
- **For PIs and investigators funded by NIH and other PHS-initiatives, the following modules are mandatory every 4 years:**
  - Financial Conflict of Interest: Overview, Investigator Responsibilities, and COI Rules (COI-Basic) (ID:15070)
  - Institutional Responsibilities as They Affect Investigators (COI-Basic) (ID:15072)

Legacy Policy: 500.810 EMPLOYEE MANDATORY EDUCATION

100.88 CONFLICT OF INTEREST IN PUBLIC HEALTH SERVICE FUNDED RESEARCH

Contacts: DCM Coordinator: Javi Melgar, jmelgarg@lhs.org, 503-413-4953

Research Laboratory Safety Specialist: Peggy Smoot, msmoot@lhs.org, 503-413-5409

Director, Comparative Medicine: Jennifer Wilk, DVM, DACLAM, jenwilk@lhs.org, 503-413-4732

7 Pre-Award Administration and Preparation of Proposals

Writing proposals in a manner that clearly defines the ideas, concepts and solutions, as well as the problem, and states the advantages or benefits to be gained as a result of the efforts proposed, is an important task. The burden of proposal writing rests with the staff member who will be designated as the PI (or project director) and who will be responsible for the project upon award. Research administration is willing to discuss and advise on issues of grant writing, proposal development, and preparation. Prior to submission of applications, it is strongly recommended that proposals be reviewed by internal and external experts to provide feedback in enough time so that revisions can be made.

Part of preparing the proposal is being sure to follow LRI's internal processes in order to make sure LRI is in compliance with all internal and external policies, procedures, guidelines, and laws.

7.1 Pre-Award Contacts

Manager of Research Finances: Angie Urrutia, aurrutia@lhs.org, 503-413-4194

Senior Grants Specialist: Joanne Couchman, jcouchma@lhs.org, 503-413-2460

Research Regulatory Specialist: Rebecca Young, MA, CCRP, reyoung@lhs.org, 503-413-5355

7.2 General Requirements

The content requirements and format of proposals can vary between sponsors. Whatever its form, the proposal document is a communication instrument that will be evaluated by the proposed sponsor to determine whether or not the project merits support.

At LRI, we most commonly submit proposals to the NIH, so the majority of the Federal information in this handbook will reference their regulations.

LRI internal forms capture information relevant to the proposal required by sponsors (e.g., NIH), such as conflict of interest disclosures and other assurances. ***Note: If applications are submitted to other funders, it is the responsibility of the PI to ensure compliance with and adherence to all of the regulations set forth by each funding agency, and to adhere to all of the requirements for conducting research at LRI.***

7.3 Proposal Preparation

The primary responsibility for the origination, development, and preparation of proposals rests with the PI. The development of the proposed project, its scope, methods and objects, personnel, equipment, facility, and other support requirements should be estimated by the PI and discussed with the VP of Research to ensure consistency with LRI objectives and availability of necessary resources.

The PI is responsible for:

- Identifying funding sources.
- Reading the Request for Proposal (RFP), Notice of Funding Opportunity (NOFO), or other applicable application guidelines.
- Engaging LRI Research Administration as early in the process as possible.
- Preparing the proposal in enough detail and sufficiently in advance to allow for adequate reviews.
- Ensuring the proposal is complete, accurate, and meets all programmatic, administrative, and compliance requirements.
- Receiving approval for cost share and matching, new space or renovations, and any variance from standard F&A (IDC) rates.
- Providing the proposal to the Senior Grants Specialist per the timeline detailed in section 7.6: Proposal Timeline.

Note: *The NIH website provides lots of useful information regarding grants and grant-writing.*

7.4 Role of LRI Research Administration in Pre-Award Administration

LRI Research Administration acts as the primary liaison between PIs, sponsors, and other Legacy administrative offices. The primary responsibilities of LRI Research Administration during the pre-award phase of a project are shared between the Manager of Research Finances and the Senior Grants Specialist.

Manager of Research Finances responsibilities:

- Assists the PI in preparing a budget for their project and helps with ongoing budget changes, as needed.
- Ensures items budgeted in projects are appropriate.
- Ensures F&A and Legacy fringe benefit rates are accurately reflected in the proposed budget.
- Ensures any cost sharing is properly documented.

Senior Grants Specialist responsibilities:

- Assists the PI in preparing a budget for their project.
- Advises PIs regarding sponsor guidelines and regulations.
- Serves as the primary interface between the PI and the sponsor.
- Assists with the preparation of supporting documents for the application.
- Gather required documents from any sub-awardees.
- Provides proofreading and editing services.
- Manages the FCOI disclosure and review process.

7.5 Proposal Budgets

Sponsors and peer reviewers are responsible for determining if the funding requested is appropriate for the work proposed. Therefore, the budget section of the proposal should reflect, as accurately as possible, the funding needed to carry out the project. Use the budget template to accurately calculate fringe benefits and indirect costs.

A fully detailed budget should be submitted to LRI Research Administration even when a modular budget will be used in the application. In addition, if your proposal will involve any animal work, the PI needs to contact the Director and Supervisor of DCM to develop estimates for any animal-based research before the budget can be submitted. This is to help ensure that the project is adequately budgeted and to avoid cost overruns.

Templates: Budget Worksheet (.xlsx)
Detailed Budget Justification (.docx) | Modular Budget Justification (.docx)
Consortium Modular Budget Justification

Guidance: Detailed Budgets | Modular Budgets (latest templates always available here)

Travel

Reimbursement for travel expenses is subject to Legacy policies and sponsor regulations. Include as much information as available for each proposed trip, including destination, transportation costs, number of days, and purpose. Domestic and Foreign travel should be separately identified and budgeted. If foreign travel is being charged on a Federal Award, then an American carrier must be given priority. A foreign carrier can be used if less expensive or for other mitigating factors, but it must be documented. Also see section 10.9: Travel Authorization and Expense Reimbursements for more info.

Legacy Policy: 100.57 PROFESSIONAL DEVELOPMENT & BUSINESS TRAVEL APPROVAL POLICY
400.27 BUSINESS TRAVEL & ENTERTAINMENT EXPENSES POLICY

Capital Equipment

For NIH purposes, Capital equipment is defined as property with a per-item acquisition cost of $5,000 or more and a useful life of one year or more. Items having a unit cost of less than $5,000 should be budgeted under "Supplies".

Budget all equipment needed to perform the proposed research (including estimated freight and installation). Most sponsors will not support the purchase of general-purpose equipment, such as office furniture, etc.

Legacy Policy: 400.03 CAPITAL EXPENDITURES

Related: NIH Equipment FAQs

Sub-recipients (AKA subcontract/sub-award/consortium)

When a portion of the scope of work is proposed to be completed by a collaborating institution or organization, generally the entity involved is considered a sub-recipient. When investigators from another institution or organization participate in the research, their home institution or host organization will be the sub-recipient, and their proposal-related documents are required by LRI prior to submission of the proposal.

The sub-recipient's proposal must contain, at a minimum, the following:

- Completed Sub-recipient Checklist form signed by an authorized person (not PI or Co-PI)
- R&R Budget (Current NIH template)
- Budget Justification
- Biosketches for Key Personnel
- Scope/Statement of Work document
- Facilities/resources document
- Major Equipment document
- Letter(s) of support
- Vertebrate Animals document (if applicable)
- Human Subjects documents (if applicable)
- Pathogen Use or Nucleic Acid Use documents (if applicable)
- Copy of negotiated F&A Rate Agreement

The sub-recipient proposal is then incorporated into LRI's primary proposal. A list of the sub-recipient's total costs should be included under sub-recipients (or Subcontract category) of the budget, depending on the sponsor's requirements. LRI's review of the proposal will include a review of sub-recipient documents. **Be aware that many Universities have long lead times, so plan accordingly.** The Senior Grants Specialist can help you gather the paperwork.

Forms: LRI Sub-recipient Checklist form | Current NIH R&R Budget Template

Facilities and Administrative Costs

Facilities and Administrative (F&A) costs, also called overhead or indirect costs (IDC), reimburse LRI for laboratory and office space, utilities, administrative services, custodial services, buildings, and other general use facilities, etc. In other words, they cover costs essential to support our research institution and activities that cannot be directly charged to a specific research grant or contract. F&A cost percentages are determined periodically from actual cost records through a detailed cost accounting procedure and are audited and approved by the federal government. Any exceptions to full F&A cost recovery must be approved by the VP of Research.

Cost Sharing

Some sponsors require applicants to contribute to the cost of the project. In addition to such mandated cost-sharing, any quantified contribution to a project included in the proposal (either in the budget or the text justification) will be considered voluntary committed cost-sharing that LRI must fully document. The Legacy fund to which such cost-sharing

will be charged must be identified prior to proposal submission. In general, LRI discourages cost-sharing unless mandated by the sponsor, and all proposed cost-sharing must be approved by the VP of Research.

PI Assurance & FCOI Personnel Identification

This dual-purpose internal form will be sent to the PI by the Senior Grants Specialist after each proposal submission:

PI Assurance

- Because grants are now submitted electronically, we need to secure and retain a written assurance from the Principal Investigator (PI) that should be submitted prior to each application, progress report, or prior approval request. This form asks you to certify that:
  - The information submitted within the application is true, complete, and accurate.
  - You understand that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties.
  - The PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded.
  - There have been no changes in the PI's financial conflict of interest status since their annual disclosure (or you have submitted an interim update with details of any new financial interests).

FCOI Personnel Identification

- Anyone identified as Senior/Key personnel in a grant application AND any other person, *regardless of title or position*, who is responsible for the design, conduct, or reporting of PHS-funded research should be classed an as investigator for FCOI purposes.
  - When deciding if someone should be classed as an investigator, a good guide is that if they have access to raw data or results that could be changed or manipulated AND they are *responsible* for any part of design/conduct/reporting, then they should do FCOI training and complete a disclosure even if they are not Key Personnel.
  - This information should be completed at the time a new or revised proposal/application (including any subcontract agreement) is submitted or when there are changes in a role that results in a staff member becoming classed as an investigator.
  - The Senior Grants Specialist will follow up as needed to ensure that anyone identified as an investigator has complete and current CITI Financial Conflict of Interest Training and they have a current annual FCOI disclosure on file.

7.6 Proposal Timeline and Deadlines

This timeline is designed to allow maximum time for the PI to work on the scientific narrative, while also allowing time for other critical information to be assembled, and for the grant to be reviewed by Research Administration. This applies to grants when we are the primary organization and also when we are a subcontracted organization.

1. **One month in advance** (or as early as possible) of the due date, the PI should send the VP of Research and the Senior Grants Specialist a message of intent to apply for a grant.
   - At a minimum, this should include the working title of the application (this can be changed later if needed) and the Notice of Funding Opportunity identification number and/or a link to the grant proposal guidelines document.
   - Important: If there will be a subcontract to another organization as part of the proposal, the external PI name and administrative contact information (names and email addresses) should also be provided to the Senior Grants Specialist at this time.
2. **One week before the due date** the PI should provide the final non-scientific portions of the application (such as the budget, resources and facilities, equipment, biosketches, etc.) to the Senior Grants Specialist.
   - At this point, the Senior Grants Specialist will initiate the application in NIH 'ASSIST' or the Grants.gov 'Workspace' system and start the upload/data entry process.

3. At least **1 business day prior to the deadline** the PI must provide a final version of the abstract, specific aims, and research strategy to the Senior Grants Specialist.
   - The Senior Grants Specialist will upload all documents and create a preview of the full application for PI review and approval (***the application will NOT be submitted until the PI has approved the preview***).
   - Changes are still allowed to any of the documents at this time.
4. By **2:00 pm on deadline day (at the very latest)**, all final documents should have been provided to the Senior Grants Specialist, and the application will be submitted.
   - The PI should review the submitted application for accuracy in eRA Commons.
   - You will have the remaining time between submission and the deadline (or up to 2 business days after submission if submitted earlier) to review and check your assembled application image in eRA Commons before it moves on for further processing.
   - If corrections are needed, the application can be withdrawn and a changed/corrected application submitted until 4:30 pm on deadline day.

Note: While every attempt will be made to be flexible with the above timeline, we strongly advise against leaving submission until deadline day, as unforeseen difficulties may occur that could jeopardize submission. There's always the possibility of circumstances outside of our control that delay submission, such as internal and external network outages, PC issues, validation errors, etc. These circumstances will be considered on a case-by-case basis by the NIH Office of Extramural Research but there's no guarantee they will accept the application.

If the delay results in your application not being received by NIH until after the deadline it will likely be rejected as these deadlines are hard and fast. NOTE: The 2-day viewing window is only open until the deadline, so the later the submission is, the less time we will have to make any corrections.

Related: More information on NIH Submission Policies

7.7 Pre-Award Expenditures

Most Federal grants permit the incurrence of pre-award costs, and LRI permits pre-award expenditures that conform to Legacy's purchasing and cost-allowability policies. Upon verification of the expected award (and if allowed by the sponsor), an activity number will be assigned. However, if the award funding is not ultimately received or if the sponsor's terms and conditions do not allow any expenditures incurred during the pre-award period, the PI will be responsible for covering any and all unreimbursed costs.

Legacy Policy: 800.02 PURCHASING POLICY

100.88.02 COST ALLOWABILITY FOR FEDERAL AWARDS

100.88.03 SMALL PURCHASES FOR FEDERAL AWARDS

8 Post-Award Administration

Managing sponsored research funds is a responsibility shared by the PI and Research Administration.

8.1 Post-Award Contacts

Manager of Research Finances: Angie Urrutia, aurrutia@lhs.org, 503-413-4194

Senior Grants Specialist: Joanne Couchman, jcouchma@lhs.org, 503-413-2460

Research Regulatory Specialist: Rebecca Young, MA, CCRP, reyoung@lhs.org, 503-413-5355

8.2 Principal Investigator Responsibilities in Post-Award Administration

The PI has primary responsibility for the management of the project within funding limitations; adherence to reporting requirements; ensuring that any sponsor will be notified when significant conditions related to the project status change; following all award terms and conditions; hiring, training, and managing project personnel, the safety of their

associated research staff and themselves when conducting research activities; and directing all technical aspects of the project.

PI detailed responsibilities include:

- Executing the project as outlined in any funded proposal and the terms and conditions of any award (for NIH, the Notice of Grant Award).
- Authorizing only those expenditures that are reasonable and necessary to accomplish the project goals and that are consistent with any sponsor's terms and conditions. Expenditures must directly relate to the scope of work and budget, be allowable under the NIHGPS where applicable, and be incurred within the award period.
- Understanding the Federal Cost Principles of **Reasonableness, Allocability, Consistency**, and **Conformance**, and how they apply to grant expenditures when applicable.
- Spending no more than the amount authorized for the project period.
- Notifying any funding agencies of scientific overlap and complying with stated overlap regulations if funding has been obtained from multiple sources to do the same work.
- Reviewing project expenditure reports in a timely fashion to confirm they are correct and appropriate.
- Notifying LRI Research Administration (Senior Grants Specialist and Manager of Research Finances) of any proposed changes in the scope of work, budget, period of performance, or effort of the named PI or other key research personnel.
- Following all applicable Legacy policies and procedures such as Conflict of Interest disclosure, human and animal subjects, travel, purchasing, employment, contracted services, and compensation policies, etc.
- Ensuring that cost-sharing or matching commitments are fulfilled, documented, and reported to LRI Research Administration in a timely manner.
- Ensuring that Time and Effort reports for funded projects are completed accurately and timely.
- Reporting IP development related to the project to the Research Regulatory Specialist and Vice President of Research.
- Submitting progress reports, including final reports, as required by the terms of the award.
- Ensuring that the PI and funded research staff have completed all necessary safety training either in person, CITI, and/or E+ training platforms
- Ensuring that the PI and research staff are compliant with Federal, State, LRI, and Legacy Health specific safety policies and procedures.
- Ensuring the Research Laboratory Safety Specialist is aware of any new hazards being brought to the LRI site

Note: it is always best to notify any funder or funding agency (e.g., program official) of issues, changes, or other anticipated or unanticipated problems with research. It is never good for the funders to find out after the fact. If possible, engage them in the solution.

Legacy Policy: 100.57 PROFESSIONAL DEVELOPMENT & BUSINESS TRAVEL APPROVAL POLICY
400.27 BUSINESS TRAVEL & ENTERTAINMENT EXPENSES POLICY
800.02 PURCHASING POLICY
100.88.02 COST ALLOWABILITY FOR FEDERAL AWARDS
100.88.03 SMALL PURCHASES FOR FEDERAL AWARDS

Forms: Travel Authorization and Expense Reimbursement forms (Employee Intranet)https://legacyhealth.sharepoint.com/sites/AccountsPayable/SitePages/Forms-and-Documents.aspx

8.3 Role of LRI Research Admin in Post-Award Administration

LRI Research Administration acts as the primary liaison between the PI, sponsors, and other Legacy administrative offices. The primary responsibilities of LRI Research Administration during the post-award phase of a project are shared between the Manager of Research Finances and the Senior Grants Specialist.

Manager of Research Finances responsibilities:

- As new awards are received, establish an activity number in the Legacy financial system.
- Assists the PI in maintaining budgetary control and helps with ongoing budget revisions as needed.
- Ensures charges to awards are appropriate.
- Ensures F&A rates are accurately charged against the direct cost budget.
- Ensures any cost-sharing is properly documented and reported.
- Prepares the required financial reports that are sent to sponsors.
- Manages receivables, billings, and collections; draws funds under federal letters of credit as costs are incurred; issues billings to sponsors; and follows up with sponsors on payments as required by the terms of agreements.
- For federal funds, administers the effort reporting function, which provides the required documentation for employee salary charges and effort spent on all federal grants.
- Assists PIs with monitoring for overspending.
- Coordinates audits.

Senior Grants Specialist responsibilities:

- Advises PIs regarding sponsor guidelines and regulations.
- Serves as the primary interface between the PI and the sponsor in all areas requiring sponsor prior approval, including changes to scope, budget, key personnel, and project end dates.
- Ensures sub-awards are managed properly, including issuing subaward agreements, processing received invoices, billing external sponsors, and, along with the PI and Manager of Research Finances, monitoring sub-recipient expenditures & effort.
- Submits progress reports to sponsors.
- Manages the FCOI training, disclosure, and review process.

8.4 Award Notifications

Sponsor award notifications can take many forms. These documents are required to be reviewed by the authorized institutional official and to be signed (when applicable) on behalf of LRI/Legacy Health. If the PI receives a notice directly, LRI Research Administration should be contacted immediately. ***Note: PIs are NOT authorized to sign award documents on behalf of Legacy Health.***

Legacy Policy: 400.07 EXECUTION OF CONTRACTS AND AUTHORIZATION OF DISBURSEMENTS

8.5 Equipment Purchases

Legacy Health defines Capital expenditures to include all equipment, systems, lands, buildings, and land/building improvements with a purchase price (including taxes, freight, and installation) of over $5,000 (except personal computers) and with an estimated useful life of two years or greater. However, the NIH has a slightly different definition (a useful life of one year or greater). Therefore, we follow NIH policy when defining 'capital equipment.'

When submitting an NIH proposal, all items over $5,000 need to be specifically identified in the budget. Post-award, prior approval is needed to re-budget federal funds to purchase a unit of equipment exceeding $25,000 and when expenditures in a single direct cost budget category change by 25% or more of the total costs awarded. See section 8.9: Budget Revisions.

Legacy Policy: 400.03 CAPITAL EXPENDITURES

Federal Policy: 8.1 CHANGES IN PROJECT AND BUDGET

8.6 Personnel Expense

Sponsored projects should be charged with a portion of each employee's salary and fringe benefits equal to the effort devoted directly to that project. If an employee's effort or funding source changes, let the Manager of Research Finances know ASAP.

PIs and key staff who participate in multiple awards will complete a timesheet and return it to the Manager of Research Finances each month. All other staff will need to enter their time into the Legacy MyTime System.

Legacy Policy: 500.808 LEGACY TIME AND ATTENDANCE (MyTime)

8.7 Employee Travel

Travel requests and reimbursements for sponsored projects are processed in accordance with NIH and Legacy Health's travel procedures. See section 10.9: Travel Authorization and Expense Reimbursements for more info.

Travel authorization and expense reimbursement forms with full receipts should be submitted to Angie Urrutia, Manager of Research Finances, aurrutia@lhs.org, 503-413-4194

Legacy Policy: 100.57 PROFESSIONAL DEVELOPMENT & BUSINESS TRAVEL APPROVAL POLICY

400.27 BUSINESS TRAVEL & ENTERTAINMENT EXPENSES POLICY

Forms: Travel Authorization and Expense Reimbursement forms (Employee Intranet)

8.8 No-Cost Extensions (NCE)

Federal awards and some non-federal grants allow for the option of extending the project end date for a period of up to 12 months without sponsor approval. This extension should be requested 60 days prior to the award's expiration date. The Senior Grants Specialist or Manager of Research Finances can make this request in eRA Commons.

8.9 Budget Revisions

Occasionally, due to the nature and progress of the research, a project's financial resources need to be reallocated. The PI should review the terms of their specific award before making a re-budgeting request, as re-budgeting is allowed only per the terms of the award or contract and may require sponsor approval.

If an employee's effort or funding source is to be changed, let the Manager of Research Finances know ASAP.

For federal awards, when expenditures in a single direct cost budget category increase or decrease from the categorical level established for the budget period by 25% or more of the total costs awarded, it will be classed as a significant rebudget/change in scope and will require prior approval. E.g., if the award budget for total costs is $200,000, any rebudget that would result in an increase/decrease of more than $50,000 in a budget category is considered significant rebudgeting. The base used for determining significant rebudgeting excludes the effects of prior-year carryover balances but includes competing and non-competing supplements. Significant rebudgeting rules do not apply to modular grants.

8.10 Sub-Awards

Sub-awards are negotiated and administered by the Senior Grants Specialist and are typically written as cost-reimbursable with detailed invoices required. Sub-awards usually mirror all terms and conditions of the prime award.

After the sub-award agreement is fully executed and work has started, it is the PI's responsibility to:

- Review and approve all invoices from the sub-recipient to ensure funds are spent appropriately and within the approved budget.
- Review and approve budget revision requests from the sub-recipient.
- Monitor the progress of the sub-award, and ensure all required deliverables are provided.
- Monitor the effort of sub-award participants and provide a list of all people who have worked on the award for the progress report.
- The Senior Grants Specialist will prepare and send invoices for PIs on subawards issued to Legacy. These are based on the monthly report of charges allocated to the award activity number.

When the subrecipient submits an invoice for reimbursement, the invoice must be signed by an authorized official of the sub-award entity. Final invoices should be received from the sub-recipient within 60 days of the sub-award end date.

8.11 Cost Transfers

Cost transfers to NIH grants by recipients, consortium participants, or contractors under grants that represent corrections of clerical or bookkeeping errors should be accomplished within 90 days of when the error was discovered. The transfers must be supported by documentation that fully explains how the error occurred and a certification of the correctness of the new charge by a responsible organizational official of the recipient, consortium participant, or contractor. An explanation merely stating that the transfer was made "to correct error" or "to transfer to correct project" is not sufficient. Transfers of costs from one project to another or from one competitive segment to the next solely to cover cost overruns are not allowed.

Related: NIH Cost Transfers

8.12 Project Reporting

Certain sponsor-prescribed actions are required to ensure timely reporting of an award. While requirements vary by sponsor, the following reporting is needed for most projects:

- **Financial Reporting** – The Manager of Research Finances has primary responsibility for preparing and submitting all interim and final financial reports. However, timely reporting usually requires assistance from the PI prior to the reporting deadline. The PI is responsible for ensuring that all expenses charged are accurate and allowable under the terms of the award. For final reports, the PI plays a vital role in assuring that the report (and final invoice) is accurate and submitted by the deadline. Any trailing charges not included in the final invoice will become the responsibility of the PI.
- **Progress Reporting (interim and final)** – Most awards require submission of interim and final progress reports covering the technical aspects of the award. Such reports can vary from a brief summary and list of publications to a complete compilation of project results. The specific reporting requirements are stipulated in the award agreement. The PI is responsible for preparing and submitting progress reports in the correct form and by the prescribed deadline. The Senior Grants Specialist can assist with this. A copy of the final report should be forwarded to the Senior Grants Specialist for placement in the award file.

8.13 Effort Reporting

Effort reporting is a method of documenting the work time devoted to an externally sponsored grant or contract and is expressed as a percentage of professional activity devoted to a particular project. ***All individuals who devote effort to grants or contracts, whether or not they are paid, are subject to effort reporting in the interim and final progress reports.*** Federal Regulations require LRI to have a system in place to certify the allocation of salaries and wages associated with sponsored agreements (see section 8.6: Personnel Expense). PIs are responsible for understanding and complying with sponsor requirements for notifications regarding changes in personnel and effort. The Manager of Research Finances should be notified immediately if the personnel or effort changes on any sponsored project.

8.14 Grant Close-Out

Prior to the end of an award, a notification is sent to the PI by the Manager of Research Finances requesting that all required activities be completed to ensure an efficient and timely close-out of the project. Generally, all materials and supplies must be received, and external services rendered *prior* to the expiration date of the project. It is the PI's responsibility to carefully review the related financial report to verify the accuracy of all expenses. Final corrections must be identified and adjusted within 90 days of the award's end for most sponsors. However, some sponsors only allow 30 or 60 days.

PI salary/effort should be reviewed to ensure it has been charged according to the sponsor authorized budget. Staff who will remain employed past the award end date should be transferred to a different funding source.

Sub-awards are usually concurrent with the prime award's period. The PI is responsible for ensuring that the final invoice is received from the sub-recipient by the date specified in the award agreement. Sub-recipient invoices that are not received, approved, and paid by the required deadline may not be paid.

8.15 Audit

When LRI accepts funds from external sponsors, those organizations presume we will spend the funds to support the aims for which they were requested and given, and these will be spent in accordance with any terms and conditions set forth in the award.

LRI is subject to the audit requirements in 45 CFR Subpart F, which requires non-profit organizations that expend $750,000 or more per year under Federal grants, cooperative agreements, and/or procurement contracts, must undergo an annual audit by a public accountant or a Federal, State, or local governmental audit organization.

The Manager of Research Finances is responsible for coordination of all audits related to externally sponsored awards. PIs may be asked to participate in audits as necessary and appropriate. **If you are contacted directly regarding any audit or inspection, LRI Research Administration should be notified ASAP.**

9 PI Leaving LRI and Grant Transfers

9.1 Grant Transfers

If you are transferring to another institution and would like to move a grant/contract to the new institution, contact the VP of Research ASAP to initiate this discussion. Since the award is issued to LRI, whether a transfer will be allowed is determined by the institution in conjunction with the sponsor. Once the transfer has been approved by the VP of Research, contact the Senior Grants Specialist to identify the transfer requirements for your project's sponsor. Usually, a final financial report should be submitted that reflects the unexpended balance that could be moved to the new institution. Work with the Manager of Research Finances and Senior Grants Specialist to finalize this balance.

If the grant/contract is to remain at LRI, a new PI must be identified, and the sponsoring agency must approve the person assuming responsibility for the research. Typically, approval is requested by a letter outlining the change and including a copy of the new PI's CV. A signature from the VP of Research will be required. The Senior Grants Specialist will coordinate the process.

NIH can be slow to process transfers, sometimes taking 6 months or longer. Consequently, the earlier this process is initiated, the better. In addition, your program official should be notified early in this process as they can be helpful in facilitating the transfer.

9.2 Equipment

If you are transferring to a new institution, you may want to request the transfer of equipment purchased with grant funding during your employment at LRI. To start this process, you must prepare a list of equipment that you would like to transfer for VP of Research approval. Disinfecting and decontamination procedure(s) of desired equipment should be discussed with the Research Laboratory Safety Specialist as early as possible. Release of any LRI equipment not purchased with grant monies will be at the discretion of the VP of Research. For government-owned (grant-purchased) equipment, the underlying grant/contract document will guide the disposition of equipment.

Related: NIH Equipment FAQs

9.3 Final Reports and Deliverables

As the PI on a grant/contract, it is your responsibility to ensure that the final technical report and any other deliverables, as required under the contract documents, are delivered to the sponsor within the allowable time frame and prior to your departure from LRI.

Related: NIH Final Progress Reports

9.4 PI Leaving and Cleaning Laboratory

It is the PI's responsibility to ensure that the Laboratory is cleaned prior to their departure and that all project-related chemicals and biologics are appropriately destroyed or removed. A meeting with the Research Laboratory Safety Specialist, who can assist in this process, should be scheduled.

Contact: Research Laboratory Safety Specialist: Peggy Smoot, msmoot@lhs.org, 503-413-5409

10 LRI Administration Processes

LRI Administration is responsible for overseeing and maintaining all core functions of the research institute. The goal is to provide administrative and logistical assistance across all LRI departments while maintaining compliance with all applicable Legacy Health policies, and state and federal laws and guidelines. It provides a link between Legacy Health's various departments and ensures the smooth flow of information between them.

Management functions that LRI administration is responsible for include:

- Budget/Financial Analysis and Accounting
- Personnel/HR
- Compliance
- Safety
- IT/Technology
- General Management
- Grant Oversight
- Facility Management

10.1 Hiring Full- or Part-Time Employees/Promotion

We are required to follow all Legacy Health procedures for the hiring of research staff. This means that all positions are posted using Legacy Health's iAspire hiring system. All qualified candidates are treated equally (interviewed, references checked, background checks done, etc.). **The hiring process usually takes a minimum of 2-3 months. Please plan ahead.**

The process is as follows:

Hiring Full or Part-time Employees

1. The position must be posted in Legacy HR's iAspire hiring system. This includes a detailed description/ justification for posting this position and detailed budget information. The Manager of Research will compile this information. The hiring department Manager must provide additional information such as job-specific qualifications and duties, which should be added to the job posting. This information is extremely helpful for attracting the appropriate candidates for the desired position.
2. After placing the requested position in the iAspire hiring system, it will go through several approval stages:
   a) VP of Research.
   b) Legacy Ops Council (Operations Council). Sometimes the Ops Council has questions about the position and the approval process can be delayed at this stage. The Ops council meets once a week. Depending on when the request to post the position is initiated, it can take 1-2 months for this stage of the process to be complete. Please plan ahead.
3. When the position has passed through all stages of approval, it will be posted on the Legacy website and candidates will be able to apply. (*If the hiring manager has a candidate in mind, please provide the person's name and email address. We want to ensure that their application goes through the iAspire hiring system.*).
4. The Manager of Research will provide the hiring manager with all applications and assist in scheduling interviews and interviewing the candidates.
5. Once a candidate has been selected, the Manager of Research will activate the reference and background checks and provide references received to the hiring manager. After the hiring manager gives their approval to proceed with the hiring process, the Manager of Research will activate the hiring process, and an offer will be made to the candidate by a Legacy HR recruiter.
6. After the candidate accepts the position, all new employees are required to have a health assessment completed and attend a full-day Legacy New Employee Orientation (NEO) including a safety orientation. The time and date of these will be determined by Legacy HR. Usually, the Legacy NEO and safety orientation will be on the first day of a candidate's employment.
7. The LRI NEO is usually scheduled for the first day of a candidate's employment at the LRI campus and will be arranged by a Project Specialist.
8. Some LRI staff may be required to undergo a tuberculosis screening before entering non-human primate spaces, see TB SOP rev 1 for details. In addition, it is required that the employee completes all assigned trainings promptly. This may include in-person, CITI, Safety, E+, animal handling, and other assigned trainings. Training

will be assigned by the Project Specialists (DCM Coordinator assigns and keeps records of trainings for the DCM new hires), and all completed material must be given to the Project Specialist or DCM Coordinator as applicable.

9. A copy of the candidate's offer letter, which includes the start date and salary, will be emailed to the hiring manager by the Manager of Research.

Promotions for Staff Scientists and Independent Scientists

1. There are specific requirements for promotions within the Staff Scientist and Independent Scientist series of positions at LRI. The promotion process can be initiated by the candidate or the candidate's supervisor. Initiation should be based on the candidate exceeding the job requirements of their current position and meeting the job requirements of the position to which they will be promoted. Once the VP of Research is notified of the promotion request, they will discuss the potential promotion with the candidate and the candidate's supervisor, then meet with the Promotion Committee to initiate the review process. The Promotion Committee uses different processes for promotions within the Staff Scientist and Independent Scientist series.
2. If the promotion is approved, the Manager of Research will submit a Compensation Reclassification Project Request located in the MyHR portal. **The promotion process usually takes a minimum of 12-16 weeks. Please plan ahead.**

Promotion of other LRI employees

If a supervisor wants to promote an employee within their department, they should contact the Manager of Research who will provide the required position qualification and salary information. After the justification for promotion has been established, and with approval from the VP of Research, the Manager of Research will submit a Compensation Reclassification Project Request located in the MyHR portal. **The promotion process usually takes a minimum of 12-16 weeks. Please plan ahead.**

Legacy Policy: 500.104 EMPLOYEE RECRUITMENT, SELECTION, AND TRANSFER

500.200 SALARY ADMINISTRATION

Related: Careers | Education at LRI | Legacy Health

Contacts Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

Vice President of Research: Shaban Demirel, PhD, sdemirel@lhs.org, 503-413-4873

10.2 Increasing or Decreasing Employee FTE Status

To increase employee FTE status (e.g., from part- to full-time):

IMPORTANT: Please email the Manager of Research and Manager of Research Finances BEFORE the employee increases or reduces their work schedule. If an employee starts to increase or reduce their work schedule before appropriate Legacy steps have been taken, as listed below, the employee will not be compensated appropriately.

To increase employee FTE status:

Legacy's procedure for increasing an employee's hours/FTE is as follows:

1. The position must be posted in Legacy's iAspire hiring system as an internal departmental posting.
2. The position must be approved by the VP of Research before the next approval stage (the Legacy Ops Council). The Ops Council committee meets once a week (see section 10.1: Hiring Full- or Part-Time Employees). Please plan ahead.
3. When the position is approved and posted, it must stay open for 5 business days (Mon-Fri).
4. The employee must apply for the position on the Legacy career website. Detailed instructions on how to apply will be provided to the employee.
5. The effective date for an FTE increase must be at the beginning of a new pay period.
6. Once the steps above are complete, it takes 48 hours to reflect the FTE status in the Legacy MyTime system.

To decrease employee FTE status:

Legacy's procedure for decreasing a staff member's hours is as follows:

1. With approval from the VP of Research, the Manager of Research will complete an Employee Record Change Form (ERCF) located on the MyHR portal**.**
2. The effective date for an FTE decrease must be at the beginning of a new pay period.
3. It takes 48 hours to reflect the new FTE status in the Legacy MyTime system.

Legacy Policy: 500.104 EMPLOYEE RECRUITMENT, SELECTION, AND TRANSFER

Contacts: Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317
Manager of Research Finances: Angie Urrutia, aurrutia@lhs.org, 503-413-4194

10.3 Resignation of Employment with Legacy Health

Voluntary Resignation

A separation of employment resulting from the choice of the employee to end their employment relationship (resignation). Employees who wish to resign must inform their direct report (PI, manager) and submit a completed Legacy Resignation Notice to the Manager of Research so they can process the HR paperwork to finalize the employee's last day and last paycheck.

- Employees cannot extend their termination date by using APL (Annual Paid Leave). Unused APL will be included in their last paycheck (live paycheck) upon the employee's last date worked.
- Nonexempt employees are responsible for logging all their worked hours accurately in the Legacy MyTime system, as a paycheck (live check) will be issued on their last day worked.
- The resigning employee has the option to collect their last paycheck (live check) at the system office. Pick-up time is after 1pm, and if the check is not collected by 5pm, it will be mailed to the home address on file. They also have the option to have their last check mailed to their home address.
- We encourage staff to request a copy of their immunization records from Employee Health as they might need this information in the future.

  For record requests, please complete the Legacy Employee Health Records Request Form

Involuntary Resignation

A separation of employment resulting from Legacy's decision to discharge the employee or eliminate the employee's position through a reduction in the workforce with no subsequent job assignment.

- Involuntary resignation may be initiated for reasons including, but not limited to, the following: lack of research funds; poor performance; violation of Legacy rules, expectations, or policy; excessive absenteeism; actions or conduct detrimental to Legacy, its patients, or other employees; lack of availability; or reduction in force. Legacy Health reserves the right to determine the grounds for termination.
- If termination is being considered due to lack of funding, the department manager (PI) should contact the Manager of Research for assistance with this process.
- If corrective action is necessary due to poor performance, the department manager (PI) should contact our Legacy Employee Relations Consultant, who will assist with the process.

Policy: 500.108 TERMINATION OF EMPLOYMENT

Related: Leaving Legacy (Employee Intranet)

Contacts: Legacy Employee Relations Consultant, Cheri Johnson, chejohns@lhs.org, 503-692-2229
Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

10.4 Exit Interview and Legacy Health/LRI Property

An exit interview will be scheduled with the Manager of Research on the employee's last day of employment. During the exit interview, employees are required to return all Legacy property, including ID badges, keys, parking tags, books, cell phones/pagers, laboratory notebooks (staff may make a copy for their personal use), electronic data files, and/or computer equipment.

Benefits

For employees that have health insurance coverage, medical, dental, and vision benefits will end at midnight on the last day of the month in which the employee resigned. Other benefit programs (such as life insurance, Aflac, etc.) are subject to specific program guidelines. Eligible employees will be notified of insurance continuation opportunities. The HR consultant is involved in the involuntary termination process and will provide detailed information regarding benefits.

Access to Network Information

To protect confidential information, including Protected Health Information, a resigned employee's access to the Legacy network and sensitive areas will be restricted as of the effective date of the resignation. The Legacy and LRI network access deactivation periods are as follows:

- When an Employee leaves without notice: Immediate deactivation of LRI & Legacy access
- When an Employee has given notice: A terminated employee's access to Legacy information systems and sensitive areas will be restricted as of the date the termination is effective, and LRI network access will be deactivated 3 months from the last day. PIs will be permitted access to the network for a longer period, if needed, but will need to place a request with our Research IT personnel.

Contacts: IT contact - Systems Analyst Research: Anthony Velasquez, avelasquez@deverseye.org, 503-413-5328
Manager of Research Information Technology: Juan Reynaud, jreynaud@deverseye.org, 503-413-5319
Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

10.5 Research J-1 Visa Program

LRI can only assist in the Federal Government J-1 Visa program for new research employees, existing research employees, or research self-funded candidates. ***Questions pertaining to any other visas cannot be answered by the LRI J-1 Visa team as we do not have the knowledge and expertise to answer these questions according to immigration laws. Our advice for non-J-1 visa-related questions is that they should be answered by the employee/potential employee's immigration office or their legal immigration counsel***.

This process can take up to 6 months. Please place a request with the Research Regulatory Specialist and IRB Coordinator at least 4-6 months prior to the anticipated candidate's start date.

If the J-1 Visa candidate is hired into a research position, the Senior Research Regulatory Specialist or IRB Coordinator must contact the Manager of Research, as the position must be posted in the Legacy iAspire hiring system.

If a candidate is self-funded, they are required to provide the following documentation:

1. Proof of health insurance for the duration of their stay in the US
    - Updated health immunization records, including proof of COVID-19 vaccination and a negative TB test within the last year. If these are not available to the candidate, they will meet with our Legacy Employee Health Nurse, who will administer the needed immunizations and/or testing.
2. Proof of funding for the duration of their stay.

All offers to J-1 Visa candidates are contingent upon the ability to obtain the necessary documents to work legally in the United States.

Candidates are expected to participate in cross-cultural training activities no later than 2 months after their starting date. This entails providing Legacy Research Institute (LRI) staff with a presentation that demonstrates the projects that they are working on and provides a background of the language, culture, and history of their home country, including their professional background. They are also required to attend mandatory LRI seminars; a list of courses will be provided to them.

If a PI is interested in bringing in a J-1 Visa candidate, they must provide the following information via email to the Research Regulatory Specialist and IRB Coordinator:

- Candidate's full name and country of origin
- Expected arrival date and duration of stay
- Position Title (needed for both self-funded candidates and potential LRI employees)
- PI/Requestor name
- Activity number (only if the candidate is hired into a research position)
- If a position needs to be posted, please refer to section 10.1: Hiring Full-or Part-Time Employees.

Contacts: Research Regulatory Specialist: Rebecca Young, MA, CCRP, reyoung@lhs.org, 503-413-5355
IRB Coordinator: Erin Babcock Musick, embabcoc@lhs.org, 503-413-2491

10.6 Research Volunteer Program

The potential volunteer must be prepared to work at LRI. If a potential volunteer is located at a different site (e.g., Good Sam), the PI must contact the Volunteer Manager at that site. Research Administration can provide contact information.

If you are interested in bringing in a volunteer, please complete the Request for Volunteer form and email this to the Project Specialists. See below for contact information.

Please note that volunteers are not allowed to have any direct contact with live animals.

The Project Specialist will coordinate the background and immunization check with Legacy Emanuel Volunteer Services. After being cleared by Emanuel Volunteer Services, an LRI Volunteer Orientation (LVO) will be scheduled, where they will receive their name badge and appropriate training prior to starting in their department.

Legacy Policy: 500.809 UTILIZATION OF VOLUNTEERS WITHIN LEGACY HEALTH

Forms: LRI Request for Volunteer form
Submit this to the Project Specialist and the Manager of Research via the LRI-Admin email

Contacts: lri-admin@lhs.org
Project Specialist: Geo Marin-De La Vega, gmarinde@lhs.org, 503-413-5412
Project Specialist: Victor Lopez: vlopez@lhs.org, 503-413-5436
Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

10.7 Summer Research Internship Program

The Summer Research Internship Program at LRI offers college-enrolled undergraduate students an opportunity to further their education and training through meaningful exposure to research in the laboratories of Legacy research scientists. The program is designed to help students understand the nature of biomedical and health-related research, emphasizes methods of discovery and communication of knowledge, and builds experience and excitement in areas of biomedical and health-related research.

The selected candidate will be placed in a Research Student position and will work with their mentors on established ongoing projects or may have the opportunity to design an independent research project that aligns with the overall goals of their laboratory. At the end of the summer, Interns are expected to do a presentation about their scientific experience and any findings made to research staff.

Internships typically last 10-12 weeks, with some variance in commitment based on each Intern's schedule. The position is a temporary, full-time job (40 hours/week for the duration of summer), and Interns receive a stipend paid from Wheeler Foundation grant funds (Dow Neurobiology only) or the PI's own funds (see below).

The cost for **one** Intern for a period of 12 weeks is estimated as follows:

$16.30/hour x 480 days (12 weeks) including 10% benefits = $ 8,606.40. *Note: This estimate is based on the minimum wage. Each year on July 1st, the minimum wage increases, and the salary of each student will vary depending on the minimum wage in effect at the time of hiring.*

If a PI is interested in hiring a Research Intern using their own funds, please contact the Manager of Research no later than **March 1st**, as each Intern position must be posted in the iAspire hiring system, and this takes time (see section 10.1: Hiring Full- or Part-Time Employees). You will need to provide the activity number and a brief description of the project, to attract the appropriate candidate.

If the PI has already selected a student, it is important to email the Manager of Research with the following information:

- Student name, email address, and phone number
- A brief description of the project that the student will be working on.
- Activity number (needed to allocate salary)

Contacts: Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

10.8 Undergraduate/Graduate Students' Program

LRI has an agreement with Washington State University- Vancouver (WSUV) and their Neuroscience program for undergraduate/graduate students to work at LRI as part of their educational program. LRI also has a similar agreement with Portland State University (PSU). Students enrolled in an "Allied Health Program" at PSU or WSUV, which includes the School of Social Work, Speech-Language Pathology, Counselor Education (Graduate Students only), Lactation Education Program (Undergraduate), Public Health: Physical Activity/Exercise, Neuroscience Research, or Psychology Program can gain laboratory experience at LRI while under the direct supervision of a PI. These students may also earn course credit for their laboratory participation. If course credit is sought by the student, they should contact the PI/LRI several weeks before the start of the next academic term. PIs must confirm that they are willing and able to support their student and may be asked to provide details of the work the student will perform.

If a WSUV or PSU student is not enrolled in an eligible program and the PI is interested in bringing the student in as a Legacy volunteer, this can be arranged. Please note that Legacy volunteers are not allowed to have direct contact with live animals.

If you are interested in offering an opportunity to a WSUV or PSU student, please complete a "Request for PSU or WSU Volunteer form" and send it to the Project Specialists via the LRI-Admin email.

The Project Specialist will coordinate the onboarding process with each student, which includes a meeting with the Employee Health Nurse and Research Lab Safety Specialist and the completion of all required training. After the potential student has completed all of the onboarding requirements, an LRI Orientation will be scheduled where they will receive their name badge and important information before they are cleared to start work with their PI/mentor.

Note: Because we are attached to a healthcare entity, the policies and procedures surrounding volunteer, intern, and student hiring may be adjusted due to contagious diseases and other public health emergencies. Please plan accordingly and leave time for the nature of healthcare operations post-COVID-19.

Contacts: lri-admin@lhs.org
Project Specialist: Geo Marin-De La Vega, gmarinde@lhs.org, 503-413-5412
Project Specialist: Victor Lopez: vlopez@lhs.org, 503-413-5436
Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

Forms: LRI Request for PSU Volunteer Form | LRI Request for WSU Volunteer Form

10.9 Travel Authorization and Expense Reimbursements

Approval and reimbursement for travel expenses are subject to Legacy policies and sponsor regulations. A Travel Authorization (TA) form must receive approval from your manager, be submitted to the Manager of Research Finances, and then approved by the VP of Research at least **2 weeks PRIOR** to traveling (much earlier if requesting direct registration payments) and must be completed before reimbursement for any part of the trip is requested. A TA must be submitted **even if no request for reimbursement from Legacy will be made**.

Travel Authorization

The TA should include all the following information and will be returned to you for completion if any sections are missed:

- Your name, phone number, and job title
- Your department name, corp#, and dept# (e.g., corp# 700, dept# 7110)
- Funding source (activity number/grant name) and category (66000 for business travel, 66010 for education). Note that a funding source is required even if no reimbursement will be requested.
- Event name, location, and dates to/from the trip

Include your best estimate of the costs for the following:

- Registration (see below for more information about requesting a direct registration payment)
- Transportation fees (Airfare/train/bus. One bag fee allowed)
- Lodging (include taxes and give details of how many days and rate per day)
- Mileage if using own car for any part of the travel
- Taxi/shuttle/car rental/ride share costs
- Meals not included as part of the meeting (follow the policy for daily meal allowance, currently $60/day, add tips of up to 20% per meal)
- Miscellaneous (e.g., airport parking, hotel Wi-Fi fee, non-meal tips, gas for rental car, tolls, etc.)
- Less amount paid by other source (if you will receive funding from an external sponsor or company, give details of how much of the estimated costs will be covered and by who)

Registration Check Request

Only complete this section if you require Accounts Payable to send a check to cover registration fees directly to the meeting organizer.

- **Your fully completed meeting registration form MUST be submitted with the TA form.**
- Submit the completed forms at least 12 weeks before the event if you require a check to be sent directly.

Also, make sure the following information is entered in the form:

- Due date
- Amount
- Make check payable to
- Mailing address

REGISTRATION CHECK REQUEST *AP will need employee's completed registration form attached to this request before check can be processed.*	Due Date:	Amount:
Make Check Payable to:		
Mailing Address:		
Distribution: (*check one*) ☒ **Mail Check Directly** ☐ **Call for Pickup** (*name & ext.*)		

- In the distribution section, check the 'Mail Check Directly' box

In the approvals section, complete the following:

- EE Class: For LRI employees, this is either NON-CLN or MGMT
- Type of request

On page two of the TA form, complete the following sections:

- Describe the professional development and/or travel requested (e.g., example, course topics, sponsoring organization, the caliber of presenters, experience level of attendees, and cost-effectiveness).
- Describe how this course or travel is essential for the employee's job (e.g., supports strategic or unit goals or is needed for certification/continuing education), how this course or travel will benefit Legacy Health, and why the need cannot be met locally or internally.

The following signatures MUST be included on the form in the approvals section, otherwise, it will be returned to you for completion:

1. Traveler/Requestor (you!)
2. Manager (your supervisor)

Email (preferred) or send the completed form to the Manager of Research Finances, Angie Urrutia, aurrutia@lhs.org, LRI Admin, HP 4th Floor. The Manager of Research Finances will check that the information is complete, assign a TA number to the request, obtain approval from the VP of Research, return the original to the requestor, and, if applicable, forward the registration request to AP.

Expense Reimbursement:

- A request for reimbursement should ONLY be submitted **after** the TA has been approved.
- Include all original receipts and attach them with the reimbursement form.
- Ensure that the form is signed by *both* the employee and their manager.

Reimbursement for money spent prior to the trip

- Common expenses prior to the trip are registration and transportation costs.
- DO NOT spend any funds *prior to the TA being approved.*
- Once you've received your approved TA form (with a TA# assigned), complete the required reimbursement form, attach a copy of the approved TA and the original receipts, and submit it to the Manager of Research Finances.
- Keep the original TA form and complete another reimbursement form after your travel.

Travel Notes:

- If foreign travel is being charged to a Federal Award, then an American carrier must be given priority. A foreign carrier can be used if it is less expensive or if there are other mitigating factors, but these must be documented.
- Car insurance **is not** needed when traveling **inside the US -** Employees using rental cars while on company business should not purchase liability, collision damage, or other insurance offered by the rental agency. Purchasing the coverage options duplicates insurance provided by Legacy, and you will not be reimbursed for it.
- Car insurance **is needed** when traveling **outside of the US**
- Travel Authorization and Expense Reimbursement forms should always be signed by the employee making the request and their direct supervisor/manager and only then submitted to the Manager of Research Finances for processing.

Legacy Policy: 100.57 PROFESSIONAL DEVELOPMENT & BUSINESS TRAVEL APPROVAL POLICY
400.27 BUSINESS TRAVEL & ENTERTAINMENT EXPENSES POLICY

Related: Legacy Travel Intranet site | Travel process flow-chart

Forms: Travel Authorization and Expense Reimbursement forms (Employee Intranet)

Contact: Manager of Research Finances: Angie Urrutia, aurrutia@lhs.org, 503-413-4194

10.10 Lawson And Pro-Card Orders

Administration can provide backup ordering for staff who do not have access to place orders directly in Lawson.

- **All order requests should be sent to LRI-Orders@lhs.org**

The pro-card is intended to accommodate the urgent needs of PIs at LRI as well as one-time purchases from non-Legacy vendors. Specific guidelines have been set in place to assure compliance with Legacy Pro-Card policies. Due to the credit limit of $7,500 and the variable expenses on the card from month to month, there may be price limitations on purchases. Therefore, all requests will be evaluated on a case-by-case basis.

Please note: Due to the high costs of travel expenses, the Pro-Card is not intended to cover these costs on a regular basis. However, we will evaluate whether it is appropriate to use the Pro-Card for travel on a case-by-case basis if an individual would incur financial hardship by paying for expenses upfront and then having to wait for reimbursement.

The Pro-Card is to be used **only** for the following:

- Unique one-time purchases from new vendors (i.e., non-Legacy vendors), if the Lawson system cannot accommodate
- Computer parts and software
- Dues/Fees paid online
- Emergency purchases
- Overnight shipment only if the Lawson system cannot accommodate
- Ongoing issues with a particular type of order
- Nucleic acid sequences such as PCR primer, oligos, etc.
- Travel Hardship-Evaluated on a case-by-case basis, for staff who would incur financial hardship waiting for reimbursement

Contacts: **Send order requests to LRI-Orders@lhs.org**

Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

Manager of Research Finances: Angie Urrutia, aurrutia@lhs.org, 503-413-4194

Project Specialist: Geo Marin-De La Vega, gmarinde@lhs.org, 503-413-5412

Project Specialist: Victor Lopez: vlopez@lhs.org, 503-413-5436

10.11 LRI Seminars

If you wish to invite a guest to present their research at an LRI seminar - whether in person, virtual, or hybrid - please contact the Project Specialists and Manager of Research via the LRI-Admin email. Also include the Manager of Research Finances, and the Systems Analyst Research with the following information:

- Specific seminar date and time
- Whether the presentation will be virtual, in-person, or hybrid
    - If in-person: Please provide multiple date and time options. Admin will check conference room availability and pick the one that works best
    - If virtual or hybrid: The Systems Analyst Research will assist with setting up the Zoom link and contacting the speaker to prepare for the presentation.
- Name and title of guest speaker
- Contact information of speaker (email and phone number)

Guest speakers will be offered an honorarium based on residency:

- Portland resident speakers are offered a $150 honorarium
- Non-resident speakers are offered a $250 honorarium

The Project Specialist will contact the guest speaker to make the arrangements for their visit. The following information will be communicated:

- Flights must be booked by the guest speaker who will then submit the receipts for reimbursement (please note that we do not reimburse for First Class).
- LRI will accommodate a two-night stay at The Crown Plaza Hotel, which is located right next to our facility at 1441 NE 2nd Ave Portland, Oregon 97232. Room reservations can be made by calling the hotel directly at 503-233-2401 and stating that they are a guest of Legacy Health to access our negotiated reduced rate. The room expense will be billed directly to Legacy Health.

- For reimbursement and honorarium payment, a W-9 and Legacy ACH Automatic Deposit form must be submitted to Accounts Payable. The Manager of Research Finances will provide these forms to the speaker to be completed and submit the final documents to Accounts Payable for processing.
- Guest speakers will be asked to provide a short bio and a short abstract on the topic of their presentation so that a flyer can be created and staff can be informed of the upcoming seminar.
- Guest speakers will be asked to bring their presentation materials on a USB drive or email the presentation ahead of time to allow the Systems Analyst Research adequate time to have the presentation set up and ready to go before the start time of the presentation.

Contacts: lri-admin@lhs.org

Project Specialist: Geo Marin-De La Vega, gmarinde@lhs.org, 503-413-5412

Project Specialist: Victor Lopez: vlopez@lhs.org, 503-413-5436

Manager of Research Finances: Angie Urrutia, aurrutia@lhs.org, 503-413-4194

Manager of Research: Melissa Dang, mmdang@lhs.org, 503-413-5317

Systems Analyst Research: Anthony Velasquez, avelasquez@deverseye.org, 503-413-5328

11 Appendix

11.1 Environment of Care Help Chain

The Environment of Care role in the tiered safety process is to provide guidance and response regarding employee safety and emergency management related issues. Please notify our team if you encounter an employee injury that requires OSHA notification, an industrial hygiene complaint (poor air quality, excessive noise, odor, etc.), or a needed emergency incident response.

Examples of when to contact EOC:

Event/Incident	Expected Response
Employee injury that requires OSHA notification: • Any employee fatality • Any employee is admitted to the hospital as an in-patient • Loss of an eye • Amputation/avulsion	Environment of Care will report the incident to OSHA/WISHA within the established time and complete any additional investigation or required follow-up work. OSHA reporting requirements
Employee safety goals and programs • Site Safety Committees	Research Laboratory Safety Specialist and Environment of Care will work with site Safety Committees to develop goals, respond to employee safety concerns, and implement safety programs.
Industrial hygiene complaint: • Air quality concern • Excessive noise • Odor • Baseline area monitoring	Research Laboratory Safety Specialist and Environment of Care will work with site stakeholders to investigate and resolve complaints. We will also conduct periodic waste anesthetic gas and air contaminant monitoring as required by OSHA.
Training or education request: • Code Silver • Fire extinguisher training • Evacuation/relocation	Research Laboratory Safety Specialist and Environment of Care will work with the requesting department to provide training.
Emergency event/incident response: • Natural disaster • Internal disaster • Emergency Operation Center activation	Research Laboratory Safety Specialist and Environment of Care will work with site leadership and effected departments as appropriate to help manage and respond to emergency/disaster events. Environment of Care will assist in developing site emergency response plans, conduct drills/exercises, and ensure compliance with CMS/TJC emergency management requirements.
Lean@Legacy • Employee safety consultants for RTPS, A3, incident/accident investigations	Research Laboratory Safety Specialist and Environment of Care will work with site stakeholders to investigate and resolve the issue.
Regulatory compliance • OSHA site visits • Joint Commission prep	Environment of Care will liaise with OSHA during any site visits and assist with Joint Commission prep and site visits.
Risk assessments/mitigations • Ligature risk assessments • Workplace hazard assessments	Research Laboratory Safety Specialist and Environment of Care will risk assess employee tasks to help prevent injury, assess ligature risk in accordance with TJC requirements, and work with stakeholders to create mitigation strategies as necessary.
Environmental Health and Safety compliance	Research Laboratory Safety Specialist and Environment of Care will conduct site tracers and inspections with department/unit leadership as requested as part of the site Safety Committee.