

# Legacy Research Institute Handbook



## CONTENTS

<b>1</b>	<b>Introduction</b>	<b>3</b>
<b>2</b>	<b>Sponsored Projects</b>	<b>3</b>
2.1	Definition and Governing Authorities for Sponsored Projects	3
2.2	Principal Investigator and Co-Investigator Eligibility	4
<b>3</b>	<b>Funding Opportunities and Due Dates</b>	<b>4</b>
3.1	NIH Funding	4
3.2	Legacy Foundations	5
3.3	External Foundations and Other Not-For-Profit Sponsors	5
3.4	Private Sponsors of Research	6
<b>4</b>	<b>Research Integrity, Compliance, and Intellectual Property</b>	<b>6</b>
4.1	Human Subjects Research - Institutional Review Board (IRB)	6
4.2	Institutional Animal Care and Use Committee (IACUC)	6
4.3	Financial Conflict of Interest (FCOI)	7
4.4	Disclosures in Oral and Written Communications	7
4.5	Ownership of Intellectual Property	7
4.6	Research Misconduct	8
4.7	Laboratory Safety, Chemical Hygiene, and Biosafety	8
4.8	Radiation and Laser Safety	9
4.9	Required Training for PIs	9
<b>5</b>	<b>Pre-Award Administration and Preparation of Proposals</b>	<b>10</b>
5.1	Pre-Award Contacts	10
5.2	General Requirements	10
5.3	Proposal Preparation	10
5.4	Role of LRI Research Administration in Pre-Award Administration	11
5.5	Proposal Budgets	11
5.6	Proposal Timeline and Deadlines	13
5.7	Pre-Award Expenditures	14
<b>6</b>	<b>Post-Award Administration</b>	<b>14</b>
6.1	Post-Award Contacts	14
6.2	Principal Investigator Responsibilities in Post-Award Administration	14
6.3	Role of LRI Research Admin in Post-Award Administration	15
6.4	Award Notifications	16
6.5	Equipment Purchases	16
6.6	Personnel Expense	16

6.7	Employee Travel .....	16
6.8	No-Cost Extensions (NCE) .....	17
6.9	Budget Revisions.....	17
6.10	Sub-Awards .....	17
6.11	Cost Transfers .....	17
6.12	Project Reporting .....	17
6.13	Effort Reporting .....	18
6.14	Grant Close-Out .....	18
6.15	Audit .....	18
<b>7</b>	<b>PI Leaving LRI and Grant Transfers .....</b>	<b>19</b>
7.1	Grant Transfers .....	19
7.2	Equipment .....	19
7.3	Final Reports and Deliverables.....	19
7.4	PI Leaving and Cleaning Laboratory .....	19
<b>8</b>	<b>LRI Administration Processes .....</b>	<b>19</b>
8.1	Hiring Full- or Part-Time Employees/Promotion .....	20
8.2	Increasing or Decreasing Employee FTE Status .....	21
8.3	Resignation of Employment with Legacy Health .....	22
8.4	Exit Interview and Legacy Health/LRI Property .....	22
8.5	Research J-Visa Program .....	23
8.6	Research Volunteer Program .....	24
8.7	Research Student Internship Program .....	24
8.8	Undergraduate/Graduate Students' Program .....	24
8.9	Travel Authorization and Expense Reimbursements .....	25
8.10	Lawson And Pro-Card Orders .....	27
8.11	LRI Seminars.....	28

# 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 also providing 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 from external sources to support research and other projects 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 whether the application is being submitted by LRI administration or the Legacy Office of Philanthropy. For Federal grants, LRI administration has the authority to submit proposals, agree to commitments on behalf of Legacy Health, and to 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 biohazard activities, 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 executing, administering, and financially managing the project as proposed and in line 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 Students (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 send 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 (FOAs) and notices.

#### NIH Grant Application Due Dates

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

<a href="#">NIH Standard Due Dates</a>	Cycle I	Cycle II	Cycle III
<b>R01</b> <i>New</i>	February 5	June 5	October 5
<b>R01</b> <i>Renewal, resubmission, revision</i>	March 5	July 5	November 5
<b>R03, R21, R33, R21/R33, R34</b> <i>New</i>	February 16	June 16	October 16
<b>R03, R21, R33, R21/R33, R34</b> <i>Renewal, resubmission, revision</i>	March 16	July 16	November 16
<b>T &amp; D: NRSA Awards/Other Training Grants All</b> <i>– New, Renewal, resubmission, revision</i>	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 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
<i>Application Due Dates</i>	January 25 - May 7	May 25 - September 7	September 25 - January 7
<i>Scientific Merit Review</i>	June - July	October - November	February - March
<i>Earliest Project Start Date</i>	September	April	July

**Related:** [NIH Standard Due Dates](#) | [NIH RePORTER](#) | [Grants.gov](#)

**Contact:** Senior Grants Specialist: Joanne Couchman, [jcouchman@lhs.org](mailto:jcouchman@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 in February each year. The grants are funded at the **start of Legacy's fiscal year, which is April 1<sup>st</sup>**.

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 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:** Associate Staff Scientist: Danielle Osborne, PhD, [dosborne@lhs.org](mailto:dosborne@lhs.org), 503-413-2474

Director of Research Operations: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317

### Devers Contacts:

Sr. Director of Clinical and Support Services: Katie O'Neill, [koneill@lhs.org](mailto:koneill@lhs.org), 503-413-7225

Devers Chenoweth Chair: Steven Mansberger, MD., MPH., [smansberger@deverseye.org](mailto: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 be widely variable. 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](mailto:hallen@lhs.org), 503-413-7068

Senior Grants Specialist: Joanne Couchman, [jcouchman@lhs.org](mailto:jcouchman@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. In order 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.

**Contacts:** Interim Vice President of Research: Shaban Demirel, PhD, [sdemirel@lhs.org](mailto:sdemirel@lhs.org), 503-413-4873  
Director of Research Operations: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Director, Comparative Medicine: Jennifer Wilk, DVM, DACLAM, [jenwilk@lhs.org](mailto:jenwilk@lhs.org), 503-413-4732

# 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 (part of the U.S. Department of Health and Human Services), 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 three standing IRBs, 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:** Senior Research Regulatory Specialist: Paul Newton, JD, CIP, [pnewton@lhs.org](mailto:pnewton@lhs.org), 503-413-5355  
Interim Vice President of Research: Shaban Demirel, PhD, [sdemirel@lhs.org](mailto: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 again, research using live vertebrate animals cannot begin until approval is issued by the IACUC.**

All IACUC activities are administered using the online system, TOPAZ. 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:** Senior Research Regulatory Specialist: Paul Newton, JD, CIP, [pnewton@lhs.org](mailto:pnewton@lhs.org), 503-413-5355  
Director, Comparative Medicine: Jennifer Wilk, DVM, DACLAM, [jenwilk@lhs.org](mailto:jenwilk@lhs.org), 503-413-4732

### 4.3 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 he or she agrees 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 Research Integrity Officer, who determines if referral to the Conflict of Interest Review Committee is needed. The Conflict of Interest Review Committee, composed of senior administration staff members, review investigators' disclosures to determine whether a researcher's Significant Financial Interest could affect the design, conduct, or reporting of the research activities funded or proposed for such funding, 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.

**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, [jcouchman@lhs.org](mailto:jcouchman@lhs.org), 503-413-2460

Senior Research Regulatory Specialist: Paul Newton, JD, CIP, [pnewton@lhs.org](mailto:pnewton@lhs.org), 503-413-5355

### 4.4 Disclosures in Oral and Written Communications

Whenever you are to 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 conducting the research shall conspicuously disclose the identity of each sponsor of the research. The types of presentations this applies to includes, but is 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, etc.

### 4.5 Ownership of Intellectual Property

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

The Research Regulatory Specialist is 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 to license the discovery for commercial development. They are also responsible for complying with sponsor terms and conditions related to the management of intellectual property.

**Legacy Policy:** [100.37 INTELLECTUAL PROPERTY POLICY](#)

**Contacts:** Senior Research Regulatory Specialist: Paul Newton, JD, CIP, [pnewton@lhs.org](mailto:pnewton@lhs.org), 503-413-5355

Senior Grants Specialist: Joanne Couchman, [jcouchman@lhs.org](mailto:jcouchman@lhs.org), 503-413-2460

## 4.6 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:** Senior Research Regulatory Specialist: Paul Newton, JD, CIP, [pnewton@lhs.org](mailto:pnewton@lhs.org), 503-413-5355

## 4.7 Laboratory Safety, Chemical Hygiene, and Biosafety

The PI has primary responsibility for laboratory safety, chemical hygiene, and biosafety. The PI is encouraged to collaborate with the research laboratory safety specialist to access necessary training, draft documents, and assess and mitigate risks.

### Laboratory Safety

The Legacy Research Safety Committee meets monthly and assists departments with maintaining a safe work environment. Department responsibilities include:

- Appointing a Department Safety Officer (DSO) to represent research staffs' safety interests at the monthly Legacy Research Safety Committee meetings.
- Reporting injuries, near misses, and other safety concerns for follow-up and resolution.
- Making available to all staff the LRI Laboratory Safety Manual, safety committee minutes, emergency response plan, and other safety policies.
- Ensuring compliance with assigned safety training.

### Chemical Hygiene

Laboratories at LRI are subject to OSHA standards for chemical hygiene and hazard communication. The [LRI Chemical Hygiene Plan](#) provides guidance for compliance with regulations and policies. LRI has an assigned chemical hygiene officer who is responsible for reviewing chemical inventories, chemical use, storage, and disposal. Departments are responsible for updating their chemical inventory at least annually for posting to the LRI Safety Program SharePoint site. Chemical SDSs and locations are tracked through MSDS Online, to which all LRI staff have access from workstations and an available mobile application. Departments must submit SDSs for new chemicals to the chemical hygiene officer for review. The chemical hygiene officer is available to help departments develop guidance and SOPs for work involving particularly hazardous substances.

### 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 (generally RG2 or higher).

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. Laboratory workspaces that are used for research covered by the *NIH Guidelines* are inspected at initiation of use and annually thereafter. The *BMBL* and *NIH Guidelines* require biosafety manuals for laboratories requiring BSL-2 practices and templates are available. The LRI Laboratory Safety Manual may serve as the biosafety manual for some BSL-2 labs. Contact the research laboratory safety specialist with questions.

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

- Human cell culture work in new space or by new PI or work group.
- Biological toxins.
- Other potentially biohazardous material.

**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, [mssmoot@lhs.org](mailto:mssmoot@lhs.org), 503-413-5409

## 4.8 Radiation and Laser Safety

The LRI Radiation Safety Committee has responsibility 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.

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 PhD, [bfortune@deverseye.org](mailto:bfortune@deverseye.org), 503-413-1198

**Radiation Safety Officer:** Catherine Hess, [chess@lhs.org](mailto:chess@lhs.org), 503-413-2990

## 4.9 Required Training for PIs

In addition to Legacy Health employee mandatory education, LRI also has training requirements based on the specific individual's responsibilities. The modules to be completed will be assigned in CITI and Legacy E+. For training administered via the Collaborative Institutional Training Initiative (CITI):

- If one has a Legacy Health CITI account, log in here: <https://www.citiprogram.org/index.cfm?pageID=14>
- If one does not already have a CITI Training account, one will need to click on '[register](#)' and follow the prompts in order to create one.
- When one gets to the list of courses, select those needed to complete and add these to the course list.
- Select a course to launch it.

**Mandatory CITI module 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. **Mandatory CITI modules for PHS-funded PIs and investigators, due 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](#)

**Contacts:** Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

Research Laboratory Safety Specialist: Peggy Smoot, [mssmoot@lhs.org](mailto:mssmoot@lhs.org), 503-413-5409

Director, Comparative Medicine: Jennifer Wilk, DVM, DACLAM, [jenwilk@lhs.org](mailto:jenwilk@lhs.org), 503-413-4732

## 5 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 could 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, and laws.

### 5.1 Pre-Award Contacts

**Research Financial Program Manager:** Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org), 503-413-4194

**Senior Grants Specialist:** Joanne Couchman, [jcouchman@lhs.org](mailto:jcouchman@lhs.org), 503-413-2460

**Senior Research Regulatory Specialist:** Paul Newton, JD, CIP, [pnewton@lhs.org](mailto:pnewton@lhs.org), 503-413-5355

### 5.2 General Requirements

The content requirements and format of proposals can be very different between the various sponsoring agencies. 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 that is 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, as well as to adhere to all of the general requirements of research at LRI.**

### 5.3 Proposal Preparation

The primary responsibility for the origination, development and preparation of proposals rests with the Principal Investigator (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 Principal Investigator (PI) is responsible for:

- Identifying funding sources.
- Reading the Request for Proposal (RFP), Funding Opportunity Announcement (FOA), 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 [5.6: Proposal Timeline and Deadlines](#).

**Note:** The NIH website provides lots of useful information regarding [grants and grant-writing](#).

## 5.4 Role of LRI Research Administration in Pre-Award Administration

LRI Research Administration acts as the primary liaison between PI, 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 Research Financial Program Manager and the Senior Grants Specialist.

### Research Financial Program Manager responsibilities:

- Assists the PI in preparing a budget for their project and helps with ongoing budget changes, as needed.
- Ensures items budgeted to awards 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:

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

## 5.5 Proposal Budgets

Sponsors and peer reviewers are responsible for comparing the level of funding requested to 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 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: 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 having 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 tasks (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)
- 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.
  - That 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.
  - That 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 as an 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.

## 5.6 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 Funding Opportunity Announcement 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. **Two weeks before the due date** (or earlier), the PI should send a draft of the abstract, specific aims, and research strategy to the VP of Research for review.
3. **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 the NIH [‘ASSIST’](#) or the Grants.gov [‘Workspace’](#) system and start the upload/data entry process.
4. At least **1 business day prior to the deadline** for on-time submission, 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.
5. 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 deadline (or up to 2 business days after submission if submitted earlier) to review and to 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 up 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](#)

## 5.7 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, 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](#)

## 6 Post-Award Administration

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

### 6.1 Post-Award Contacts

**Research Financial Program Manager:** Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org), 503-413-4194

**Senior Grants Specialist:** Joanne Couchman, [jcouchman@lhs.org](mailto:jcouchman@lhs.org), 503-413-2460

**Senior Research Regulatory Specialist:** Paul Newton, JD, CIP, [pnewton@lhs.org](mailto:pnewton@lhs.org), 503-413-5355

### 6.2 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 the 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; and directing all technical aspects of the project.

**PI detailed responsibilities include:**

- Executing the project as outlined in the funded proposal and the terms and conditions of the 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 the sponsor's terms and conditions. Expenditures must directly relate to the scope of work and budget, be [allowable under the NIHGPS](#), 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.
- Spending no more than the amount authorized by the sponsor for the project period.
- Notifying the 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 Research Financial Program Manager) 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 Senior Research Regulatory Specialist.
- Submitting progress reports, including final reports as required by the terms of the award.

**Note: it is always best to notify the 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)

### 6.3 Role of LRI Research Admin in Post-Award Administration

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

#### **Research Financial Program Manager responsibilities:**

- As new awards are received, establishes 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 that 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 PI's 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 Research Financial Program Manager, monitoring of sub-recipient expenditures & effort.
- Submits progress reports to sponsors.
- Manages the FCOI training, disclosure, and review process.

## 6.4 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: PI's are NOT authorized to sign award documents on behalf of Legacy Health.**

**Legacy Policy:** [400.07 EXECUTION OF CONTRACTS AND AUTHORIZATION OF DISBURSEMENTS](#)

## 6.5 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 at least \$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 what is capital equipment.

All items over \$5,000 need to be specifically identified in the budget when submitting your proposal. Post-award, prior approval is needed to re-budget federal funds to purchase a unit of equipment exceeding \$25,000, as well as when expenditures in a single direct cost budget category change by 25% or more of the total costs awarded. See section [6.9: Budget Revisions](#).

**Legacy Policy:** [400.03 CAPITAL EXPENDITURES](#)

**Federal Policy:** [8.1 CHANGES IN PROJECT AND BUDGET](#)

## 6.6 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 Research Financial Program Manager know ASAP.

PI's and key staff who participate in multiple awards will complete a timesheet and return it to the Research Financial Program Manager each month. All other staff will need to enter their time into the Legacy MyTime System.

**Legacy Policy:** [500.808 LEGACY TIME AND ATTENDANCE \(MyTime\)](#)

## 6.7 Employee Travel

Travel requests and reimbursements for sponsored projects are processed in accordance with NIH and Legacy Health's travel procedures. See section [10: Travel Authorization and Expense Reimbursements](#) for more info.

Travel authorization and expense reimbursement forms with full receipts should be submitted to Angie Urrutia, Research Financial Program Manager, [aurrutia@lhs.org](mailto: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)

## 6.8 No-Cost Extensions (NCE)

Federal awards allow for the option of extending the project end date for a period up to 12 months without sponsor approval and should be requested 60 days prior to the expiration date of the award. The Senior Grants Specialist or Research Financial Program Manager can make this request in eRA Commons.

## 6.9 Budget Revisions

Occasionally, a project's financial resources need to be reallocated due to the nature and progress of the research. 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 Research Financial Program Manager know ASAP.**

Note that 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.

## 6.10 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 as part of the progress report.
- The Senior Grants Specialist will prepare and send invoices for our PIs on subawards issued to Legacy. These are based on the monthly Lawson 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.

## 6.11 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 allowable.

**Related:** [NIH Cost Transfers](#)

## 6.12 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 Research Financial Program Manager has primary responsibility for preparing and submitting all interim and final financial reports; however, timely reporting usually requires assistance from the

PI through their input 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.

## 6.13 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 for certifying the allocation of salaries and wages associated with sponsored agreements (see section [6.6: Personnel Expense](#)). PI's are responsible for understanding and complying with sponsor requirements for notifications regarding changes in personnel and effort. The Research Financial Program Manager should be notified immediately if the participants or effort change on any sponsored project.

## 6.14 Grant Close-Out

Prior to the end of an award, a notification is sent to the PI by the Research Financial Program Manager requesting that 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 accuracy of all expenses. Final corrections must be identified and adjusted within 90 days of the award 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 that will remain employed past the award end date should be transferred to a different funding source.

Sub-awards are usually concurrent with the award period of the prime award. The PI is responsible for ensuring that the final invoice is received by the date specified in the award agreement. Sub-recipient invoices that are not received, approved and paid by the required deadline may be subject to non-payment and de-obligation.

## 6.15 Audit

When LRI accepts funds from external sponsors, those organizations presume we will expend the funds for the purposes 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 Research Financial Program Manager is responsible for coordination of all audits related to externally sponsored awards. The PI may be called upon to participate in the audit as necessary and appropriate. **If the PI is contacted directly regarding an audit, LRI Research Administration should be notified ASAP.**

## 7 PI Leaving LRI and Grant Transfers

### 7.1 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 your new institution. Work with the Research Financial Program Manager 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, and the Senior Grants Specialist will coordinate the process.

NIH can be notoriously slow to process transfers, sometimes taking 6 months or longer so 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.

### 7.2 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. Any release of non-grant purchased LRI equipment 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](#)

### 7.3 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](#)

### 7.4 PI Leaving and Cleaning Laboratory

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

**Contact:** Research Laboratory Safety Specialist: Peggy Smoot, [mssmoot@lhs.org](mailto:mssmoot@lhs.org), 503-413-5409

## 8 LRI Administration Processes

LRI Administration is responsible for the oversight and maintenance of 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

## 8.1 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 the Legacy's HR iASpire hiring system. This includes a detailed description/ justification for posting this position and detailed budget information. The Director of Research Administration and Research Manager (**LRA = Legacy Research Administration**) will compile this information. Additional information of job-specific qualifications and duties can be added to the job posting, this information needs to be provided by the hiring manager and 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 and the Director of Research Operations and Administration.
  - 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, the position 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 so we can look for the application).*
4. LRA will provide the hiring manager with all applications and assist in setting up interview sessions and interviewing the candidates.
5. Once a candidate has been selected, LRA 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, an offer will be made to the candidate by Legacy HR.
6. After the candidate accepts the position, all new employees are required to take a drug screen and attend a full-day Legacy New Employee Orientation (NEO); the time and date of these will be determined by Legacy HR. Usually the Legacy NEO will be on the first day of a candidate's employment and is normally on a Monday. *Due to COVID restrictions, this is temporarily on hold and the Legacy NEO is currently combined with the Legacy Research Institute (LRI) NEO, which is arranged by LRA.*
7. The LRI NEO is usually scheduled for the first day of a candidate's employment at LRI and will be arranged by LRA.
8. A copy of the candidate's offer letter, that includes the start date and salary, will be emailed to the hiring manager by LRA.
9. All new employees are required to complete the Legacy Mandatory Education training on their first day of employment. In addition, it is required that the employee completes all assigned trainings promptly. This may include CITI, Safety, E+, and other assigned trainings. The completed material must be given to the LRI Onboarding Coordinator.

### 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 promotion processes for promotions within the Staff Scientist and Independent Scientist series.

2. If the promotion is approved, the position will need to be posted per Legacy policies. This requires the candidate to apply for the desired position. Detailed instructions will be provided to the candidate to assist with the process (see section [8.1: Hiring Full- or Part-Time Employees](#)).

### Promotion of other LRI employees

If a supervisor wants to promote an employee within their department, they should contact the Director of Research Operations and Administration, who will provide the required position qualification and salary information. After the justification for promotion has been established, the position will be posted, and the candidate must apply for the new internal posting. LRA will provide the employee with detailed instructions on how to apply after the position has been approved. Please refer to hiring Full or Part-time employee hiring process (see section [8.1: Hiring Full- or Part-Time Employees](#)).

**Legacy Policy:** [500.104 EMPLOYEE RECRUITMENT, SELECTION, AND TRANSFER](#)

**Related:** [Careers | Education at LRI | Legacy Health](#)

**Contacts** Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412  
Interim Vice President of Research: Shaban Demirel, PhD, [sdemirel@lhs.org](mailto:sdemirel@lhs.org), 503-413-4873

## 8.2 Increasing or Decreasing Employee FTE Status

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

**IMPORTANT: Email the Director of Research Operations and Administration or the Manager of Research BEFORE the employee changes their work schedule.**

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

1. The position must be posted in Legacy's iAspire hiring system as an internal departmental posting.
2. The position will need to be approved by the VP of Research and the Director of Research Administration before it goes to the next approval stage, (the Legacy Ops Council). The Ops Council committee meets once a week, (see section [8.1: Hiring Full- or Part-Time Employees](#)). Please plan ahead.
3. When the position is approved and posted, the position 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. Once the above steps are complete, it will take 48 hours to reflect the FTE status in the Legacy MyTime system, and the employee will receive appropriate payment.

***To decrease employee FTE status:***

**IMPORTANT: Email the Research Financial Program Manager, Director of Research Operations and Administration, or the Manager of Research BEFORE the employee reduces their work schedule.**

- An HR form will need to be completed to decrease the employee's FTE status; Research Administration will submit this form after receiving an email with instructions from the Research Financial Program manager.

**Legacy Policy:** [500.104 EMPLOYEE RECRUITMENT, SELECTION, AND TRANSFER](#)

**Contacts:** Research Financial Program Manager: Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org), 503-413-4194  
Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

## 8.3 Resignation of Employment with Legacy Health

### Voluntary Resignation

A separation of employment resulting from the choice of the employee to end the employment relationship, such as resignation, Employees who wish to resign must inform their direct report (PI, manager) and complete and submit a [Legacy Resignation Notice](#) to the Director of Research Operations and Administration and/or the Manager of Research so they can process the HR paperwork to finalize the employee's 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 resigned employee has the option to pick-up their last paycheck (live check) at the system office (pick-up time is after 1pm, if the check is not picked up by 5pm, the check will be mailed to their home address on file. They also have the option to have their last check mailed to their home address.
- We encourage staff to contact our Employee Health Nurse, Michelle Adams, to request a copy of their immunization records as they might need this information in the future.

### 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, patients, or other employees; lack of availability; or reduction in force. Legacy Health reserves the right to determine grounds for termination.
- If termination is being considered due to lack of funding, the department manager (PI) should contact the Director of Research Operations and Administration for assistance in the process.

If corrective action is necessary due to poor performance, the department manager (PI) should contact Director of Research Operations and Administration, who will assist in the process and can arrange a meeting with the HR consultant, if needed.

**Policy:** [500.108 TERMINATION OF EMPLOYMENT](#)

**Related:** [Leaving Legacy \(Employee Intranet\)](#)

**Contacts:** Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412  
Employee Health Nurse: Michelle Adams, RN, [miadams@lhs.org](mailto:miadams@lhs.org), 503-413-5116

## 8.4 Exit Interview and Legacy Health/LRI Property

An exit interview will be scheduled with the Director of Research Operations and Administration, and the Manager of Research, on the employees last day of employment. During the exit interview employees are required to return all Legacy property including ID badges, keys, parking tags, books, cell phone/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 the 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 in regards of 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 date the resignation is effective. The Legacy and LRI network access deactivation periods are as follows:

- When Employee leaves without notice: Immediate deactivation of LRI & Legacy access
- When Employee has given notice: Legacy Health access will be deactivated 30 days from the employee's last day, and LRI network access will be deactivated 3 months from the last day. PI's 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 - Associate Research Analyst: Anthony Velasquez, [avelasquez@deverseye.org](mailto:avelasquez@deverseye.org), 503-413-5328  
Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

## 8.5 Research J-Visa Program

LRI can only assist in the Federal Government J-Visa program for new research employees, existing research employees or research self-funded candidates. ***Question pertaining to any other visas, cannot be answered by the LRI J-Visa team as it may place the J-visa program at risk, as we do not have the knowledge and expertise to answer these questions according to the immigration laws. Our advice for non-J 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 Director of Research Operations and Administration and/or the Manager of Research at least 4-6 months prior to the anticipated candidates start date.

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
2. 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 Health Nurse who will administer the needed immunizations and/or testing.
3. Proof of funding for the duration of their stay.

All offers to J-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 culture training activities no later than 2 months after their starting date. This entails that they provide Legacy Research Institute (LRI) staff with a presentation that demonstrates the projects that they are working on and provide 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-Visa candidate, they must provide the following information via email to the Director of Research Operations and Administration or the Manager of Research:

- 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 candidate is hired into a research position)
- If a position needs to be posted, please refer to section [8.1: Hiring Full-or Part-Time Employees](#).

**Contacts:** Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

## 8.6 Research Volunteer Program

The potential volunteer needs to be located at LRI. If a potential volunteer is located at a different site (e.g., Good Sam), the PI will need to 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 LRA, see below for contact information.

**Please note that volunteers are not allowed to have any direct contact with 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 various trainings 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 Manager of Research

**Contacts:** Project Specialist: Geo Marin-De La Vega, [gmarinde@lhs.org](mailto:gmarinde@lhs.org), 503-413-5436

Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317

## 8.7 Research Student Internship Program

The Research Student Internship Program (previously called Summer Student Program) at LRI offers college-level undergraduate students an opportunity to further their education and training through meaningful exposure to basic science research in the laboratories of Legacy research scientists. The program is designed to help students understand the nature of biomedical research, emphasizes methods of discovery and communication of knowledge, and builds experience and excitement in areas of biomedical 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 the laboratory. At the end of summer, students are expected to do a presentation for the research staff about their scientific experience and any findings made.

Internships typically lasts 10-12 weeks, with some variance in commitment based on each students' schedule. The position is a temporary full-time job (40 hours/week for the duration of summer), and students receive a stipend derived by the Primary Investigators' allocated grant funds.

The cost for **one** student for a period of **12 weeks (temporary position)** is estimated as follows:

**\$15.00/hour x 480 days (12 weeks) including 10% benefits = \$ 7,920.** *Note: This estimate is based on the minimum wage. Each year on July 1<sup>st</sup>, 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 Student using their own funds, please contact the Director of Research Operations and Administration or the Manager of Research no later than **March 1<sup>st</sup>**, as each student position request must be posted in the iAspire hiring system, and this takes time (see section [8.1: Hiring Full- or Part-Time Employees](#)). You will need to provide the [activity number](#) to use for the position.

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

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

**Contacts:** Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317

Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

## 8.8 Undergraduate/Graduate Students' Program

LRI has a signed contract through WSUV and their Neuroscience program for undergraduate/graduate students to volunteer at LRI as part of their educational program. LRI also has similar permissions 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 participate in.

**If a WSUV or PSU student is not enrolled in an eligible program, and the PI is interested in bringing in the student, the student can be brought in as a Legacy volunteer. Please note that Legacy volunteers are not allowed to have any direct contact with 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 return to the Director of Research Operations and Administration or the Manager of Research

LRA will coordinate the process to onboard the student which includes, immunization check, including verification of Covid-19 vaccination, and a QuantiFERON gold (TB test) with the Employee Health Nurse, and the completion of all required trainings. After the potential student is cleared, an LRI Orientation will be scheduled where they will receive their name badge and important information before they are released to their PI/mentor.

**Note, Due to Covid restrictions, LRI Admin must follow many new processes/procedures that have been implemented by Legacy, therefore, it can take more than 3 weeks before the student is authorized to start in the requested department.**

**Contacts:** Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

**Forms:** [LRI Request for PSU Volunteer Form](#) | [LRI Request for WSU Volunteer Form](#)

## 8.9 Travel Authorization and Expense Reimbursements

[Approval](#) and [reimbursement](#) for travel expenses is subject to Legacy policies and [sponsor regulations](#). A Travel Authorization (TA) form must receive approval from your manager, be submitted to the Research Financial Program Manager, and then approved by the VP of Research at least **2 weeks PRIOR** to a trip being taken (much earlier if requesting a direct registration) and must be done before reimbursement for any part of the trip is requested. A TA must also be submitted *even if the travel is fully paid by a sponsor and no request for reimbursement from a Legacy-managed fund 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 the trip is fully paid for by a sponsor.
- Event name, location, and dates to/from the trip

Include your best estimate for the costs of the following, as applicable:

- 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 [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 who by)

**Registration Check Request**

Only complete this section if you require Accounts Payable to send a check 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 sending directly.

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

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

<b>REGISTRATION CHECK REQUEST</b> <i>AP will need employee's completed registration form attached to this request before check can be processed.</i>	Due Date:	Amount:
Make Check Payable to:		
Mailing Address:		≡ I
Distribution: (check one) <input checked="" type="checkbox"/> Mail Check Directly <input type="checkbox"/> 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, caliber of presenters, experience level of attendees, cost effectiveness).
- Describe how this course or travel is essential for the employee's job (e.g., supports strategic or unit goals, needed for required 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)

**Send the completed form to the Research Financial Program Manager, Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org), LRI Admin, HP 4<sup>th</sup> Floor.** The Research Financial Program Manager 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 advance 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 to the Research Financial Program Manager, Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org).
- 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 less expensive or for other mitigating factors, but it 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 insurances 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 employees making the request and their direct supervisor/manager, and only then submitted to the Research Financial Program Manager 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:** Research Financial Program Manager: Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org), 503-413-4194

## 8.10 Lawson And Pro-Card Orders

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

- Contact the Project Specialist to request an order to be placed (see below for contact info)

The pro-card is intended to be utilized to accommodate 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 for 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 for a person who would incur financial hardship. It is highly recommended that PIs provide financial assistance for their staff/students in these circumstances. If the PI provides financial assistance, they will be reimbursed by completing the necessary Reimbursement and Travel Authorization forms and providing the appropriate receipts.

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

- Unique one-time purchases from new vendors (i.e., non-Legacy vendors)
- 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

All requests must be approved by the Research Financial Program Manager, Director of Research Operations and Administration, or the Manager of Research

**Contacts:** Project Specialist: Geo Marin-De La Vega, [gmarinde@lhs.org](mailto:gmarinde@lhs.org), 503-413-5436

Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412

Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317

Research Financial Program Manager: Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org), 503-413-4194

## 8.11 LRI Seminars

If you wish to invite a guest to present their research at an LRI seminar, either in person or via a virtual presentation, please contact the Project Specialist, Manager of Research, Research Financial Program Manager, and the Associate Analyst of Research with the following information:

- Specific seminar date and time
- If this will be a virtual seminar or an in-person seminar
  - 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: The Associate Analyst of Research will assist with setting up the GoToMeeting 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 and/or Manager of Research will contact the guest speaker to make the arrangements of 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 two nights 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 Research Financial Program Manager will provide these forms to the speaker to be completed and submit the final documents to Accounts Payable for payment processing.
- Guest speakers will be asked to provide a short bio and a short abstract on the topic of their lecture 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 thumb drive or email the presentation ahead of time to allow the Associate Analyst of Research adequate time to have the presentation set up and ready to go before the actual start time of the presentation.

**Contacts:** Project Specialist: Geo Marin-De La Vega, [gmarinde@lhs.org](mailto:gmarinde@lhs.org), 503-413-5436  
Manager of Research: Melissa Dang, [mmdang@lhs.org](mailto:mmdang@lhs.org), 503-413-5412  
Director of Research Operations and Administration: Erna Hibbitts, [ehibbitt@lhs.org](mailto:ehibbitt@lhs.org), 503-413-5317  
Research Financial Program Manager: Angie Urrutia, [aurrutia@lhs.org](mailto:aurrutia@lhs.org), 503-413-4194  
Associate Analyst of Research: Anthony Velasquez, [avelasquez@deverseye.org](mailto:avelasquez@deverseye.org), 503-413-5328