

## SJBSM Research Pre-Award Guidelines

Pre-award procedures are the activities that occur between preparing, reviewing, and approving a research proposal for submission and SJBSM's acceptance of an award.

During this period, the research award mechanism (pilot project, grant, cooperative agreement, or contract) and the sponsor will largely determine the length and complexity of the negotiation process. The result of pre-award research negotiations is a mutually agreeable set of terms under which the University will conduct the proposed project.

The Board of Trustees has delegated the authority to approve a research application on behalf of the University to the President.

The Research Center (RC) Director supports the Principal Investigator in preparing an acceptable application for the University, the Principal Investigator, and the sponsor. In addition, the RC Director will notify each investigator seeking or participating in public health service funding for research on the requirement to read the SJBSM Financial Conflicts of Interest Policy for PHS Investigators and complete the SJBSM SFI Disclosure Form in August of each year. The PHS Investigators must also complete FCOI training before engaging in research related to any federally funded grant or contract and renew it at least every four years.

The Sponsored Program Officer (SPO) is responsible for submitting the application to external federal sources. The SPO is the institutional official responsible for ensuring that Financial Conflicts of Interest (FCOI) disclosures and related documents are correctly uploaded and submitted to Era Commons, such as the NIH, in compliance with applicable laws, regulations, and institutional policies.

**Changes to the Scope of Work or Budget:** Any time a sponsor requests or requires a change in the originally proposed budget or scope of work, the Principal Investigator should always notify and coordinate a response through the RC Director before submitting a revised budget or scope of work to the sponsor.

### **Steps for Proposal Preparation, Review, Approval, and Submission**

- I. PI/PD reviews program concepts such as space requirements, personnel, equipment, and other required resources with the corresponding Associate Dean.
- ii. PI/PD contacts the Research Center Director to notify of the intent to submit a proposal and for orientation on the specific internal procedures.
  - If the proposal includes another institution, a Collaborative Research Agreement must be signed between them before the date of the award.
- iii. PI/PD prepares the Letter of Intent when required. This document briefly summarizes the intention to submit a full proposal to the sponsoring agency. A Letter of Intent is not binding.

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iv. PI/PD prepares a preliminary proposal based on the sponsoring agency's guidelines. The Research Center Director will review it and provide guidance. If the RC director is unavailable, the RC co-director will assist with the review.

- The Research Center Director or Co-director, the corresponding Associate Dean, and the Finance Office Director will review the budget and budget justification.
- The Investigator(s) must submit an NIH Certificate for the FCOI training and the SJBSM FCOI Disclosure Form 1. A to the RC Director and the SJBSM Office of Human Resources, Administration Deanship. If the Investigator declares a potential FCOI, Disclosure Form 1. B is required. (See SJBSM FCOI policy for specific instructions)

v. Once the Research Center director or Co-director endorses the proposal, they will obtain the necessary letters of institutional support.

- The FCOI Certificate and FCOI Disclosure Form 1. A will be part of the faculty's record at the SJBSM Human Resources Office, Administration Deanship.

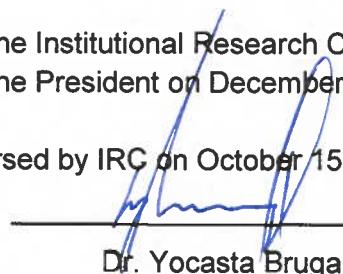
vi. Once the President approves the final proposal, the SPO submits the proposal to the sponsoring agency.

### History of updates:

Endorsed by the Institutional Research Committee (IRC) on April 29, 2021.

Approved by the President on December 14, 2021.

Update: Endorsed by IRC on October 15, 2025.

Approved by:  Date:

Dr. Yocasta Brugal  
President