College of Social Work
THE UNIVERSITY OF UTAH

CSW RESEARCH HANDBOOK

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Introduction to the CSW Research Handbook

Welcome to the CSW's Research Handbook!

This document serves as a reference for CSW researchers and their teams. The handbook provides clarifying information and guidance about how to develop, manage, and close out your research projects whether funding is attached to the research being conducted. It outlines the roles and responsibilities for individuals on a study team, provides information about how to onboard and offboard study team members, overviews how to work with the CSW's research support unit, and details other expectations for the ethical and responsible conduct of research.

In this document, you will find links to University of Utah policies and rules, as well as units across campus that can assist you in producing research that follows university, state, and federal compliance and integrity expectations. This document is dynamic and will be updated as new information and/or requirements are available.

Please reach out to the research support unit to set up a meeting for your project, or if you have questions.

Definitions & Acronyms

Business Relationship Reporting System (BRR): The BRR at the University of Utah is an online platform used by investigators and University employees to disclose all financial relationships that reasonably appear related to their professional responsibilities to the University. This system is part of the University's compliance with its Individual Financial Conflict of Interest Policy (Policy 1-006) and federal regulations.

Conflict of Interest (COI): A financial conflict of interest exists when an individual (or the institution) has financial interests that have the potential to influence, or appear to influence, their professional duties to the University.

Corporate and Foundation Relations (CFR): The CFR connects the University of Utah with private and corporate philanthropic partners to drive research, innovation, and impact. Faculty can stay informed about funding opportunities, trainings, and more by signing up for the CFR newsletter.

Data Transfer Agreement (DTA): This is a contract used to transfer human subject data between institutions or organizations for use in research.

Effort Distribution Report (EDR): At the University of Utah, the EDR is an online tool used to manage and monitor exempt employees' effort distribution records throughout the quarter. Similar to the end-of-quarter electronic Personal Activity Report (ePAR), the EDR displays effort-based earnings and allows users to make corrections directly within the report. Unlike the ePAR, the EDR provides a quarter-to-date view, offering more detailed information and tools to calculate and submit valid corrections online. This system was developed to improve accuracy and timeliness in posting expenses to grants, reduce delays, and enhance transparency by enabling electronic certification and tracking of effort allocations.

Electronic Health Record (EHR): An EHR is a digital version of a patient's medical chart that securely stores comprehensive health information, including demographics, medical history, diagnoses, medications, lab results, and treatment plans. EHRs are maintained by healthcare providers to support coordinated care, improve patient safety, and enable authorized sharing of health data. At the University of Utah, EHR systems also play critical roles in research and clinical compliance, ensuring adherence to HIPAA regulations and institutional privacy standards.

Electronic Personal Activity Reporting (ePAR): The ePAR system at the University of Utah is an online tool used to certify the percentage of effort faculty and staff devote to sponsored projects. This system ensures compliance with federal regulations governing effort certification. Through ePAR, individuals review and confirm their quarterly activity allocations, providing accurate documentation for audits and financial accountability. It is a critical component of the University's internal controls for managing sponsored research funds and maintaining transparency in grant-related work. ePARs must be certified quarterly.

Evidence of Review (EOR): The EOR application provides an overview of the financial transactions on the Activities and Projects during the specified month. The EOR at the University of Utah is the documented process that verifies monthly financial review of Management Reports for Activities and Projects. This review ensures that all transactions are accurate, allowable, and properly recorded in compliance with University Policy 3-003 and federal regulations. EOR can be completed electronically or in printed form and serves as proof that the individual responsible has examined and approved the financial activity for their accounts. It is a key internal control for maintaining financial integrity and accountability in sponsored and non-sponsored projects.

Electronic Research Integrity & Compliance Administration System (ERICA): ERICA is the University of Utah's online platform for managing research compliance processes. ERICA is primarily used for submitting, reviewing, and tracking Institutional Review Board (IRB) applications for studies involving human participants, as well as coordinating ancillary committee reviews and ensuring adherence to federal, state, and institutional regulations. This system streamlines communication between researchers and compliance offices, provides secure document storage, and helps maintain research integrity by ensuring all required approvals and documentation are completed before a study begins.

Grants and Contracts Accounting Office (GCA): GCA will assist you in connecting with the research development office (RDO) when their services are needed.

Institutional Review Board (IRB): The University of Utah IRB is a committee of research experts and community members that reviews research involving human participants, their data, or biospecimens to ensure ethical standards and compliance with federal, state, and University policies. The University of Utah IRB offers detailed guidance and models to help you design your consent process.

Material Transfer Agreement (MTA): An MTA is a contract that governs the transfer of tangible research materials and associated data between two institutions.

Office of Sponsored Projects (OSP): OSP provides final control over all university projects. OSP requires all grants to be submitted to them a minimum of 5 business days before the grant due date.

Principal Investigator (PI): The PI is the primary individual who will work on a grant or project if awarded and act as the project manager in creating the grant submission, with assistance from the grants and contracts managers.

Protected Health Information (PHI): PHI refers to any individually identifiable health information that relates to a person's past, present, or future physical or mental health, the provision of healthcare, or payment for healthcare services. PHI includes data such as names, addresses, dates of birth, medical record numbers, and other identifiers that can be linked to an individual. Under the Health Insurance Portability and Accountability Act (HIPAA), PHI must be safeguarded to ensure privacy and security. At the University of Utah, PHI is handled in compliance with HIPAA and institutional policies to protect patient confidentiality in clinical care, research, and administrative processes.

Responsible Artificial Intelligence Initiative (RAI): The RAI Initiative at the University of Utah—formally known as the One-U Responsible AI Initiative—is a campus-wide effort to advance artificial intelligence in ways that achieve societal good while upholding ethical principles. Its mission is to develop and apply AI responsibly by protecting privacy, civil rights, and civil liberties, and promoting fairness, accountability, and transparency. The initiative brings together interdisciplinary expertise, advanced computing resources, and community engagement to ensure AI technologies are used ethically in research, education, and public service. It also fosters collaboration across sectors to address societal challenges and position the University as a national leader in responsible and ethical AI innovation.

Research Support Unit (RSU): The RSU assists CSW faculty and students with the preparation, submission, and management of grant proposals and research contracts.

Team Members: Team Members refer to all those participating in a grant, project, or award (e.g., PI, coinvestigators, consultants).

Technology & Licensing Office (TLO): The TLO at the University of Utah is responsible for managing the University's intellectual property and facilitating the commercialization of research innovations. TLO works with faculty, staff, and students to protect inventions through patents, copyrights, and other legal mechanisms, and to license these technologies to industry partners. The office also handles agreements such as Material Transfer Agreements (MTAs), Data Transfer Agreements (DTAs), and Non-Disclosure Agreements (NDAs), ensuring compliance with University policies and legal requirements. Its goal is to promote innovation, support entrepreneurship, and foster partnerships that translate research discoveries into real-world applications.

University Information Technology (UIT): UIT strives to provide stable, dependable, and secure IT access for students, faculty, staff, clinicians, patients, researchers, and visitors. UIT is responsible for the University of Utah's most critical common IT resources including the wired and wireless network; Campus Information Services (CIS); UMail, telephone, and online collaboration services; information security; digital learning technologies; software licensing; IT governance leadership; and several other systems and applications.

Roles & Responsibilities

Research Support Unit (RSU)

The purpose of CSW's Research Support Unit (RSU) is to assist faculty, staff, and students with grant proposals and contract development. The RSU reviews proposal and contract requirements to ensure that all aspects of these submissions are met. Please let the RSU know as soon as possible if you are working on a proposal or contract so that the RSU can provide comprehensive support.

The Principal Investigator (PI) is ultimately responsible for providing the content for proposal and contracts. In addition, the PI is responsible for managing grant and contract activities and meeting deliverable timelines as specific to proposal or contract awards.

Pre-award

The RSU assists in preparing and submitting applications for internal and external funding. These activities include:

- Reviewing the funding opportunity
- Starting and managing the application
- Meeting with researchers and research teams to provide instruction and checklists to ensure the requirements of the opportunity are met
- Reviewing submission documents
- Assisting with budget preparation and drafting budget justification
- Assisting with developing scopes of work
- Ensuring proposals meet federal, state, and university rules and regulations
- Liaising with OSP for proposal submission

Post-award

The RSU unit manages awarded internal and external funding, including:

- Setting up awards/accounts
- Assisting in grant/contract implementation
- Auditing activities for grant/contract congruence
- Assisting in reporting progress
- Auditing finances for budget congruence
- Tracking and monitoring funds and billing
- Ensuring compliance with federal, state and university rules and regulations
- Completing closeout activities

Research Personnel

This section outlines the responsibilities of work on research projects (funded or unfunded) by roles. As noted, CSW's RSU will provide pre-award and post-award support for projects and activities with internal and external funding. Roles on projects and activities are PI, co-PI, co-investigators, and staff. Post-doctoral trainees and students at the bachelor's, master's, and doctoral levels may also have roles on projects and activities. Additional information can be found on the Vice President for Research website (Vice President for Research) and the Office for Sponsored Projects (OSP) website (Research Handbook - Office of Sponsored Projects - The University of Utah).

As work begins on a project, it is crucial to (a) establish regular meeting times for the team (i.e., weekly or bi-weekly) as well as (b) create memos about work expectations and duties for each team member. These memos should be formal documents that are reviewed at least monthly to ensure that research activities are progressing and research team members are clear about their duties on a project. The RSU can provide templates for these memos.

Principal Investigator (PI) and Co-Principal Investigator (Co-PI)

The responsibilities of the PI and Co-PI are to oversee and manage all aspects of projects and activities on which they are listed as PI or Co-PI. Thus, all facets of projects and activities are under these roles, including designing the study and directing the research team's activities and workload. They are responsible for training staff and students working on the project and/or activity, providing mentorship to individuals, reviewing the work product and deliverables related to the project and/or activity, reviewing and approving budgets and expenditures, communicating regularly with the research team, drafting, finalizing and submitting progress, annual, and final reports for all projects and activities on which they are working. In addition, PIs and Co-PIs are tasked with ensuring that regulatory compliance and ethical parameters for research are maintained at the highest level for all personnel and deliverables or products developed from the projects and/or activities. PIs and Co-PIs serve as the scientific and administrative leaders for projects and/or activities.

For further information, the National Institutes of Health (NIH) offers information about the roles and responsibilities (Chapter 2 - Roles and Responsibilities of the Principal Investigator).

Co-Investigator Responsibilities

Co-Investigators usually fall into the senior key personnel category. These roles do not have the same level of responsibility as PIs or Co-PIs. They are expected to devote their work effort to a certain portion of the project and/or activity as delineated in the proposal, i.e., conducting identified and defined work on projects and/or activities. The Co-I brings scientific or methodological expertise to the research. They are not responsible for all facets of a project or activity.

Staff Responsibilities

Staff on projects and/or activities have responsibilities as defined by their role on the project. Staff members report to the PI or Co-PI. For example, a project coordinator (which is needed for most large-scale projects and/or activities) would assist in overseeing the administration of the project or activity. They can develop a project plan and manage scopes of work with research teams and other personnel or stakeholders. Staff should be available to ensure that work on projects and/or activities is congruent with the proposal or scope of work or memorandum of understanding/agreement. They should work with CSW's RSU on budgetary and finance management. It is important to provide specific definitions of staff roles such that responsibilities can be clearly developed.

Post-doctoral Trainee Responsibilities

Post-doctoral trainees often serve as key senior personnel. Their responsibilities include completing the research and scientific tasks assigned to them, reporting to the PI or Co-PI about the work they are completing, completing deliverables, assisting in training for the research team, and drafting reports and manuscripts based on project or activity requirements. These individuals are not students and are expected to function at a higher level than student trainees. They will need clear oversight from the PI or Co-PI to prepare them appropriately to become a PI as they move forward in their research careers.

Student Responsibilities

It is expected that undergraduate and graduate students be involved in research as part of their educational background. There are three levels of students who might be interested and/or expected to participate in research: bachelor's students, master's students, and doctoral students. For the CSW, it is not required that bachelor's or master's students participate in research; however, when there are projects or activities that could hire a student at one of these levels to participate, it is incumbent on CSW faculty to ensure these opportunities are available to them. For undergraduate students, they can be expected to conduct literature searches, draft literature reviews, and conduct basic research activities. For a master's student, they can be expected to do all the items an undergraduate student can do along with managing some of the compliance activities and handling more complex research activities. All students need clear oversight from the PI or Co-PI to complete their work. Thus, mentoring from the PI or Co-PI is expected. The PI or Co-PI should develop a mentoring "contract" and/or scope of work to ensure clarity of responsibilities.

Doctoral students in the CSW are expected and required to participate in research as part of their program of study. Usually, this research will link to a doctoral student's area of interest; however, research funding may not necessarily be available in their areas of interest. Doctoral students are expected to oversee some of the activities of the undergraduate and master's level students working on a project or activity, conduct more advanced research activities (i.e., drafting survey and/or interview questions, push out data collection tools, analyze data, and draft reports and/or manuscripts based on the project and/or activities). In addition, this level of student could be tasked with managing compliance activities for the project and/or activity. Drafting sections of the next grant or contract is also appropriate for doctoral student work. Again, mentoring from the PI or Co-PI is expected. The PI or Co-PI should develop a mentoring "contract" and/or scope of work to ensure clarity of responsibilities.

It is important to remember that students at all levels are not full-time employees of the institution. They are allowed to work a certain number of hours per week and must be allowed to attend courses and complete their schoolwork. They are here as students first.

Beginning and Ending Research Activities at the CSW

When beginning research at the CSW, it's important to coordinate with research leadership and the finance team and set up a meeting with the RSU. These discussions will help to ensure a smooth process and will provide a clear understanding of the support that is in place to help you succeed in your research. The following is a list of helpful onboarding tasks:

- Meet with ADR to discuss research goals, and facilitate collaboration
- Meet with the RSU to ensure you understand the support available prior to looking for funding or starting applications
- Complete CITI and GCP Training: Training – Institutional Review Board
- Complete research security training through the CITI or through REd
- REd Ethics Training (RED 730: RECR Faculty & Staff Certificate - Education Vice President for Research - The University of Utah)

When leaving the CSW, or transitioning out of research role, a researcher must complete the Research Faculty Offboarding Checklist, listed in Appendix C of this handbook.

Pre-Award Process

The pre-award process in the first phase in securing external funding for research and sponsored projects. The researcher should work closely with the RSU to understand the support available to ensure this process goes smoothly. Below are the first steps in securing funding based on OSP's Grant Lifecycle (Grant Life Cycle - Office of Sponsored Projects - The University of Utah).

Generate Your Idea

Researchers should develop a detailed plan for the research they wish to pursue prior to identifying funding. When considering a potential research idea, it is helpful to draft a white paper that the researcher can quickly send in or reference to potential funders when discussing research interests with interested parties.

Find Funding

Several resources through the University are available to support the search for funding including:

- ADR email announcements
- ADR events
- Internal funding opportunities that can support the collection of seed data
- Library resources and librarian consultations
- The Office of Corporate and Foundation Relations (CFR)
- PIVOT platform

Develop Your Proposal

Once funding has been identified, researchers should inform the RSU as soon as possible. The RSU will set up a kickoff meeting to discuss putting together a budget, timeline, available FTE, and the plan for submission. Prior to attending the Kickoff meeting, the PI, RSU, and all other attendees are expected to have read through all submission documents in advance.

A checklist will be provided that shows the responsibilities/expected documents/who is responsible for each piece of the proposal after the kick-off meeting.

Budgeting

The RSU will work closely with PIs to ensure that budgets are created that align with sponsor guidelines and University Policies, as well as all federal and state regulations. To ensure a smooth process, the budgeting process should begin early, and budgets should always include a budget justification section and align closely with the scope of work. Once a proposal has been finalized and approved by both the RSU as well as the PI, the RSU will support coordination with OSP and the sponsor to finalize and submit the proposal. Proposals should be thoroughly reviewed and approved by the RSU prior to submission.

Timelines

The RSU will support the PI as they create a realistic timeline for each proposal that aligns with the budget and budget narrative. The creation of this document in the proposal phase will also help support the creation of a Gannt chart or the use of project management software in the post-award phase. Templates for these documents are available and the RSU will support by providing examples and customizing templates based on the PIs preferences and project needs.

Submit Your Proposal

Work with RSU to properly submit your proposal.

Proposal Submission Timeline

A realistic timeline for the successful submission for competitive grants and contracts is included in appendices F and G of this Handbook. Please note that the University requires that all proposals be received by OSP 5 business days prior to the funding agency deadline.

Once the Scope of Work and Budget are finalized, the RSU will review the full proposal to ensure congruence with all parts of the application and facilitate the submission of the application through coordination with the PI and OSP or the Sponsor.

Post-Award Process

The post-award process begins once a grant or contract has been officially awarded and accepted by the university. This can include either a notice of award or a signed contract. Once the funding has been officially awarded the RSU will work with OSP and GCA to ensure that it is set up correctly in our system. This section focuses on the appropriate management of sponsored funds to ensure compliance with sponsor and University requirements throughout the life of the project including any extensions or needed modifications.

Tracking Grants & Projects

The RSU will offer support in tracking budgeting and expenditures through regular communication with the PI as well as scheduled quarterly PI finance meetings to review expenses and distribution of time on projects.

PI Finance Meeting

CSW's RSU holds quarterly PI finance meetings for PIs currently receiving project funding. PI finance meetings are crucial for ensuring the financial health and successful execution of projects. They provide a platform to review a project's financial performance, identify and address potential issues, and make informed decisions to keep project(s) on track and within budget.

Key/Potential Discussion Points in PI Finance Meetings

- Forecasts and Projections: Regularly updating financial forecasts based on project progress and potential changes.
- Revenue Sources and Cash Flow: Confirming the availability of revenue sources and the adequacy of cash flow.
- Financial Transactions and Expenditures: Reviewing expenditures against the budget and over the project's life.
- Personnel FTE/Distributions: Reviewing personnel FTE/distributions and updating as needed based on workload and funding availability.
- Risks and Issues: Identifying, analyzing, and addressing potential financial risks and issues.
- Project Plan and Scope: Confirming the project plan is being followed and reviewing any scope changes.
- Action Items and Follow-Up: Assigning clear action items with owners and deadlines to ensure progress is made.

Project Management Software

CSW offers at least 3 platforms for project/grant management. Each of these are free to study teams to use.

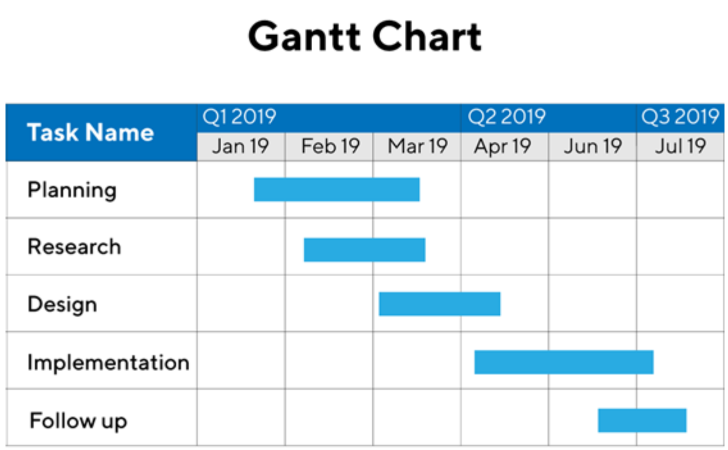
ClickUp is a project management software company that provides an all-in-one platform to improve workplace efficiency and collaboration. The platform's features include tasks, chat, whiteboards, spreadsheets, and document collaboration on a unified platform. Watch a demo at: https://clickup.com/on-demand-demo

Trello is a web-based project management application employing a Kanban-style workflow for organizing and tracking projects. The platform, accessible via web browser and desktop/mobile apps, offers a free plan and paid tiers with features like increased file limits and customization.

Planner is a Microsoft 360 product that is an intuitive, collaborative task management tool that enables people to plan, manage, and complete task-based initiatives. Users assign and manage tasks on a Kanban board using task cards, which they can populate with various important plan information, such as due dates, status, checklists, labels, and file attachments. Planner integrates with several Microsoft solutions, including Microsoft Teams. As a web-based tool, Planner is accessible from anywhere and available as a mobile app for both iOS and Android.

Gantt Charts

Gantt charts are also a valuable tool for project management, offering a clear and organized way to visualize, plan, and track projects of various sizes and complexities. Serving as a visual representation of a project's schedule, displaying tasks, their start and end dates, and dependencies over time. It makes it easier to track progress, identify potential bottlenecks, and ensure efficient resource allocation. It's a bar chart where each bar represents a task, and the length of the bar indicates the task's duration. Gantt charts are widely used in project management to plan, schedule, and track project progress.



Key components of a Gantt chart:

- Tasks: A list of activities that need to be completed.
- Timeline: A horizontal axis representing the project's duration, often with dates or time units.
- Bars: Horizontal bars that visually represent the start and end dates of each task.

- Dependencies: Lines or arrows that show how tasks are related and which tasks need to be completed before others can start.

Benefits of using Gantt charts:

- Visualization: Gantt charts provide a clear, visual overview of the project timeline, making it easy to understand the project's scope and schedule.
- Planning and Scheduling: They help in breaking down complex projects into manageable tasks and determining the optimal sequence and duration for each task.
- Progress Tracking: Gantt charts can be updated to show the current progress of tasks, allowing for easy monitoring of project status and identification of potential delays.
- Resource Management: They can be used to track resource allocation and identify potential conflicts in resource utilization.
- Communication and Collaboration: Gantt charts serve as a shared reference for all team members, facilitating better communication and collaboration.

Budgeting and Expenditures

Effective budgeting and expenditure management are important aspects of successfully obtaining and managing awards. The RSU offers collaborative support to PIs to ensure accurate budgeting and expenditure management. PIs are responsible for ensuring that funds are used appropriately and in accordance with the sponsor's requirements and University policies. PIs should monitor expenses to ensure they align with the project's goals and comply with all relevant regulations. Projects that will be supported by the research team may include:

- Federal/government grants
- Corporation and Foundation grants
- State contracts
- Seed grants
- University of Utah internal grants from University Research Committee (URC), CSW, and other departments/colleges
- PhD dissertation grants

Expense Monitoring

Once a project is awarded and executed the RSU will continue to support the PI through implementation and financial oversight of the project.

All research purchasing must be approved by the Account Executive (AE), who is usually also the PI, as well as a member of the RSU prior to purchasing to ensure expenditures are in alignment with the approved budget and costs. Every month the PI is responsible for approving management reports. The budget and expenditures should be reviewed carefully prior to approval.

Classification of Costs

Costs involved in conducting sponsored projects are categorized in two ways:

- Direct Costs = Project Specific Costs
- Indirect Costs = Facilities and Administrative (F&A) Costs or Overhead Costs

Direct and indirect costs together are the actual cost of a sponsored project. It is essential that each item of cost incurred for the same purpose be treated consistently in like circumstances either as a direct or an indirect cost.

Major direct cost budget categories generally include:

- Personnel costs
- Equipment
- Travel
- Participant/trainee support costs
- Other direct costs
- Materials & supplies
- Publication costs
- Consultant services
- Consortia/subawards
- Data management and sharing costs

Personnel Costs and FTE

PIs should communicate with each other and their supervisor regarding available FTE and workload to ensure accurate expenditures on projects. If there are changes in effort on projects, PIs should notify the RSU immediately so changes can be made, and costs are accurately reflected.

Overview of Time and Effort on Projects

Salary Bases

Calendar Year	12 months	100% or 1 FTE
Academic Year	9 months	75% or .75 FTE
Summer Term	3 months	25% or .25 FTE

Calculating Salary Request

1 Full-Time Equivalent (FTE) base salary X% of up to a 12-month funding period% of effort distributed to the project.

Other post award processes may include the need for amendments, award modifications, or other project related tasks. Estimated timelines for these activities can be found in Appendix H of this handbook.

Research Compliance

This section provides helpful information on compliance requirements to help ensure the integrity and the responsible conduct of research at the CSW. By adhering to these guidelines researchers can help foster a community of success in their research endeavors for themselves and the wider research community at the University of Utah.

Research Onboarding Training Requirements

- The main research onboarding training requirements include:
- Human Subject Research Training/Collaborative IRB Training Initiative (CITI) (Training – Institutional Review Board)
- RSU recommends completing the Biomedical and Social & Behavioral courses.
    - Group 1 Biomedical: This is for everyone inside the covered entity that will work with medical studies, and/or that will use protected health information (PHI); or
    - Group 2 Social/Behavioral: This is for Main Campus personnel who are not working with protected health information (PHI)
- Good Clinical Practice (GCP) Training (Training – Institutional Review Board)
- Research Security Training (CITI or REd)
- REd Ethics Training (RED 730: RECR Faculty & Staff Certificate - Education Vice President for Research - The University of Utah)

Institutional Review Board (IRB)

The University of Utah IRB is required to review all human subject research and clinical investigations that are conducted through the University of Utah. Human subject research is defined by the Office of Human Research Protections (OHRP) in 45 CFR 46.102. A clinical investigation is defined by the Food and Drug Administration (FDA) in 21 CFR 50.3(c). Research that does not meet the definition of research involving human subjects must be determined by the IRB staff, not an individual investigator.

PIs need to make sure to set up their profile with the IRB. PIs must complete and submit an IRB new study application with any applicable documents. The IRB requires an amendment to note any changes related to an approved study. The amendment application must describe the modification(s) requested including reasons for the change, whether the modification will increase or decrease the risk of harm to the subject, and whether the consent form requires modification. All studies that are open must provide information to the IRB periodically (guidelines available at https://irb.utah.edu/submitting-an-application/continuing-reviews/).

Regulatory Binders (Trial Master File)

Essential documents and general study records should be collected and maintained in the Regulatory Binder/Trial Master File (in electronic format using U Box or another university-approved platform).

A consistent template for regulatory binder organization should be adhered to and can be provided by the RSU.

For a detailed list of documents that should be filed in the Regulatory Binder see SOP 006 Supplement A.

Some essential documents such as the Delegation of Authority log and Screening log may be updated with new entries throughout the conduct of the study. If new documents are issued with updated information (e.g., protocol amendment, renewed medical license, change in financial disclosure, etc.) the original and updated documents should be maintained in the regulatory binder.

Maintenance and Storage of Study Records

Study participant charts and regulatory binders should be maintained as current and up to date throughout the conduct of the research.

All research records containing PHI must be maintained in an area of restricted access during work hours, and in a locked room or cabinet after hours or when not in use, or on a password protected computer.

Records created or maintained in the EHR are considered source documents. Copies of these records from the EHR that are included in the study participant charts are not considered source documents and do not need to be certified as such.

Conflict of Interest (COI) and Business Relationship Reporting (BRR)

A financial conflict of interest exists when an individual, or an institution, has financial interests that have the potential to influence, or bias, their responsibilities to the University.

Conflicts of interest, real or perceived, may manifest as: bias in research or academic work, improper influence over University subordinates or students, undue influence on research participants, inappropriate uses of University funds or property, and public allegations of unethical behavior. These situations can have the potential to damage the reputations and work of individuals and the University.

Complete your BRR financial disclosure to comply with the Individual Financial Conflict of Interest Policy (U Pol 1-006) through the University of Utah's BRR financial disclosure system.

Evidence of Review (EOR)

University policy requires that monthly Management Reports are reviewed each month. "Evidence of Review" is required. The EOR application provides an overview of the financial transactions on the project during the specified month. On a monthly basis review and mark reviewed your projects in the EOR application. If you have any questions or concerns regarding the information in the EOR application, please contact RSU.

Navigation to EOR

1. Log in to CIS
2. Financial & Business Services pagelet
3. REPORTS
4. Management Reports
5. Click on the "EOR" icon next to the "Responsible Person's" name. "Evidence of Review" will open with details for all Activities for the Account Executive.

Electronic Personal Activity Report (ePAR) Certification

University of Utah employees are expected to certify any effort directed towards sponsored awards. Exempt employees certify effort on sponsored awards by way of the ePAR, which is distributed quarterly. For hourly employees, effort is certified using the Institutional Time & Attendance System. At the end of each quarter, after the final payroll has been processed, your department administrator will review your ePAR and request your certification; as part of their review, some changes may be made to your ePAR. For more information review the Compensation for Services on Sponsored Awards Executive Summary and the ePAR Quick Guide for Faculty and Staff Effort Certification.

Consulting

Before engaging in consulting activities, it is important to inform and work closely with the ADR to obtain the required prior approval and to ensure compliance with University Policy.

Appendices

Appendix A. Research Team Dry Lab Guidelines

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Research Team Dry Lab Guidelines

I. Introduction

This document provides guidelines and expectations for all team members working in a dry lab to ensure a safe, productive, and collaborative environment in the College of Social Work (CSW).

II. Definitions and Acronyms

a. Dry Lab: A dry lab is a research facility where computational, theoretical, qualitative, and quantitative work can be conducted, as opposed to a wet lab where physical experiments are performed. The activities in these labs include data collection, data analysis, simulations, and modeling.
b. Data Sharing Agreements (DSAs): specify how data will be shared with internal collaborators while maintaining confidentiality and privacy of participant data
c. DTA: Data Transfer Agreement
d. MTA: Material Transfer Agreement
e. CSW: College of Social Work
f. PI: Principal Investigator
g. ADR: Associate Dean for Research
h. IRB: Institutional Review Board
i. TLO: Technology & Licensing Office
j. UIT: University Information Technology
k. CSW IT: CSW Information Technology
l. RAI group: Responsible Artificial Intelligence group
m. GCP guidelines: Good Clinical Practice guidelines

III. Procedure

a. **Principal Investigator (PI) Responsibilities**: The PI oversees all facets of project leadership, financial management, and compliance and oversight, ensuring the successful execution and adherence to regulations for their projects.
    i. **Project Leadership:** PIs are responsible for the overall leadership of the project, ensuring that the research is conducted according to the proposed plan and objectives. The PI commits to personally conducting or supervising the research, including:

1. Ensure that all staff participating in the conduct of the research, including any new staff, have adequate training.
2. Provide regular opportunities to discuss team members' work on projects and project needs.
3. Develop contracts for each team member.
4. Provide mentorship to team members.
5. Provide clearly identified tasks and associated time commitments to team members.
6. Hold regular lab meetings as outlined below.
7. Foster a collaborative environment by sharing knowledge and resources with team members.

ii. **Financial Management:** While some tasks may be delegated, PIs oversee and are ultimately responsible for all financial aspects of the project, including:
1. Budget Management: PIs are responsible for ensuring that funds are used appropriately and in accordance with the sponsor's requirements and university policies.
2. Expenditure Monitoring: PIs should monitor expenditures to ensure they align with the project's goals and comply with all relevant regulations.

iii. **Compliance and Oversight:** The PI is specifically responsible for compliance with the IRB approved protocol, GCP guidelines, and the applicable federal regulations and requirements. The PI may delegate authority to conduct study tasks to sub-investigators, coordinators, and other qualified study personnel; however, the investigator retains ultimate responsibility of overall study conduct including:
1. Maintaining adequate and accurate study records, and reporting study data, including safety data, to the sponsor and/or regulatory agency in a timely manner.
2. Protecting the rights, safety, and welfare of subjects under the investigator's care through obtaining informed consent and ensuring initial and ongoing IRB review and approval of the study.
3. Developing a plan for the supervision and oversight of the research. This plan should include training of study personnel, and ensuring compliance with the study protocol, SOPs, and study-specific processes.
4. Following best practices for data management, storage, and agreements.

b. **PI Delegation of Tasks:** When study tasks or duties are delegated by the PI, the investigator is responsible for providing adequate training and supervision to all delegates and the PI remains ultimately accountable for those tasks and duties. In addition, the PI and lab team should maintain a delegation log that specifies duties and responsibilities for each team member (see resource links below).

c. **“Contracts” for each team member**: The PI will develop contracts for each team member that specifies their job duties, roles, and responsibilities in relation to study activities, as well as how to address issues and when to bring issues to the PI. Contracts will specify the expected productivity for team members along with deliverables and authorship expectations/parameters.

d. **Team Leads**: Coordinate daily activities, ensure that team members have the necessary resources, and address any issues that arise.

e. **Team Members**: Follow the guidelines, participate in training sessions, and contribute to a positive and productive lab environment.

f. **Training Requirements**: The PI and team members should receive appropriate instruction and training prior to conducting or being involved in research. The PI should maintain documentation of training for all study personnel. These trainings will include topics linked to research ethics, data security and management, data sharing and usage, data storage, software usage, and lab safety. The PI should ensure that all staff participating in the conduct of the research, including any new staff, have adequate training. To provide adequate training, PIs should ensure that study staff:
    i. Are familiar with the purpose of the study and the general objectives of the protocol.
    ii. Have an adequate understanding of the specific details of the protocol and attributes of the research to perform their assigned tasks.
    iii. Are knowledgeable of the GCPs and applicable regulatory requirements.
    iv. Are competent to perform or have been trained to perform the tasks they are delegated.
    v. Are informed of any pertinent changes during the conduct of the research and receive additional training as appropriate.

g. **Collaboration:** The PI should foster a collaborative environment by sharing knowledge and resources with team members. Federal and university expectations are to treat team members with respect and always observe professional behaviors.

h. **Lab Meetings:** The PI should hold at least bi-weekly routine meetings with the lab team to discuss project progress as well as any issues that arise in the lab. It is also important to document these meetings, including the agenda, additional topics covered, and attendance. This documentation should be maintained with the study records and made available for review if requested. These meetings should include individuals actively supporting the conduct of the research, and should accomplish the following:

   i. Review of the performance of delegated study tasks and duties. Tasks should be reassigned as needed for personnel turnover.
   ii. Review of enrollment status, and progress and condition of current study participants.
   iii. Ensure the informed consent process is conducted and documented appropriately, that IRB approval is maintained, and that conduct of the research is in compliance.
   iv. Verify that the source data are complete and accurate, that data captured in the case report form or study database are consistent with source data, and that data queries and discrepancies identified by the study monitor are handled and corrected appropriately.

i. **Workspace Organization**: The PI and lab team members should (a) keep workspaces clean and organized and (b) ensure that all equipment and materials are stored properly.

j. **Use of Space**: The PI will use assigned and appropriate space within the CSW (or elsewhere on campus) to conduct work. This space is to be used for research purposes and study activities only. The PI will manage the space in their lab on behalf of CSW.

k. **Data Management**: Lab teams should follow best practices for data management, including regular backups, proper documentation, and secure storage of sensitive information. These best practices are discipline-specific, and the PI will provide a guidance document about the data management practices required for team members.

l. **Secure Cloud Storage Solutions**: Utilize cloud platforms specifically tailored for sensitive data with advanced encryption and user-level access control. The Associate Dean for Research (ADR) can assist in identifying university-approved platforms.

m. **Data Access and Ownership Agreements**: Develop data sharing agreements (DSAs) that specify how data will be shared with internal collaborators while maintaining confidentiality and privacy of participant data. Develop data transfer agreements (DTAs) or material transfer agreements (MTAs) with the support of the Institutional Review Board (IRB) and Technology & Licensing Office (TLO) at the University of Utah. Comply with University policies on use and stewardship of data.

n. **Compliance with Ethical Guidelines**: Review the National Association of Social Workers (NASW) Code of Ethics to ensure that research in labs fits in with the context of the Code, especially for research conducted with vulnerable groups.

o. **Software and Tools**: Use approved software and tools for your research. Ensure that all software is properly licensed and up to date. Data and information may not be kept on personal computers unless these computers are approved by University Information Technology (UIT)/CSW Information Technology (CSW IT) and have the necessary security software on them. In addition, lab members and researchers may not download software without UIT/CSW IT permission. Work with the UIT and the Responsible Artificial Intelligence (RAI) group to ensure that emerging technologies for data analysis in social research are appropriate for use. Understanding the ethical implications for different technologies and platforms is essential for managing the security and storage of data and information.

p. **Advanced Data Security Workshops**: Special workshops focusing on the latest encryption and anonymization techniques may be particularly relevant for social work researchers working with community data and information.

q. **Safety Protocols**
   i. **Emergency Procedures**: Become familiar with the lab's emergency procedures, including evacuation routes and emergency contact numbers.
   ii. **Health and Safety**: Maintain a healthy work environment by following ergonomic practices and taking regular breaks to avoid strain and fatigue. These breaks are important for managing a positive work environment. In addition, ergonomic assessments for workstation setup should be conducted to reduce the physical and mental strain.
   iii. **Cybersecurity Measures**: Since social work data often involves vulnerable populations information, periodic cybersecurity audits, multi-factor authentication, and regular testing of lab systems may be scheduled and conducted.

r. **Documentation and Reporting**
   i. **Lab Notebook**: Maintain a detailed lab notebook documenting all research activities, findings, and any issues encountered. Electronic notebooks, such as LabArchives, are preferred over paper notebooks. LabArchives is available through the University to study teams.
   ii. **Progress Reports**: Submit regular progress reports to the PI and team leads, outlining research activities and any challenges faced.
   iii. **Reporting Meetings**: PIs and team members should hold at least bi-weekly meetings to discuss project progress as well as any issues that arise in the lab.

s. **Naming Conventions for Dry Labs**

i. **Descriptive Names**: Use names that clearly describe the primary function or focus of the lab. For example, if the lab focuses on computational biology, you might name it "Computational Biology Lab."
ii. **Acronyms and Abbreviations**: If the lab's name is long, consider using an acronym or abbreviation that is easy to remember and pronounce. For example, "Data Analysis and Simulation Lab" could be abbreviated to "DAS Lab."
iii. **Location-Based Names**: If there are multiple labs within the same organization, consider including the location in the name to differentiate them. For example, "Salt Lake City Computational Lab."
iv. **Project or Research Focus**: If the lab is dedicated to a specific project or research area, include that in the name. For example, "AI Research Lab" or "Genomics Data Lab." In addition, for social work research, consider branding for a lab especially if it works on social justice or community empowerment topic areas.
v. **Avoid Personal Names**: It is best to avoid naming labs after individuals, as this can lead to confusion and may not accurately reflect the lab's purpose.
vi. **Consistency**: Ensure that the naming conventions are consistent across all labs within the college. This expectation assists with organization and makes it easier for team members to identify and locate specific labs.

Appendix B. Training Log for Lab PIs and Trainees

Training Log for Lab PIs and Trainees

Type of Training	Name of Personnel	Lab Type (Wet/Dry)	Training Completed (Y/N)	Date of Completion	Lead/PI Signature

Appendix C. Research Faculty Offboarding Checklist

Research Faculty Offboarding Checklist

This checklist ensures a smooth, compliant transition when research faculty leave the institution. It supports coordination across departments to maintain research continuity, compliance, and administrative integrity.

1. Personal Information:

Name:
Department:
Position:
Date of Departure:
New Email Address:
New Mailing Address:

2. Notification and Communication:

☐ Notify relevant departments (Dean's Office, Vice President for Research Office, Office of Sponsored Projects).

☐ Inform collaborators and research staff about the departure.

3. Data and Material Transfer:

☐ Discuss the transfer of data and/or samples from clinical and other studies.

☐ Set up DTA/MTAs.

☐ Ensure all research data is properly archived and accessible.

☐ Complete sponsored award reporting.

4. Grant and Contract Management:

☐ Notify Grant Administrator and relevant federal agencies about the transfer or termination of awards.

☐ Prepare federal award relinquishing statements.

☐ Ensure invoicing and payment for corporate-sponsored awards are up to date.

☐ Ensure that the project close out is set up and completed, as appropriate.

5. IRB and IACUC Protocols:

☐ Closeout or transfer Principal Investigator (PI) on open IRB protocols.

☐ Update study information on ClinicalTrials.gov.

☐ Terminate or transfer IACUC protocols.

6. Personnel and UNID Maintenance:

☐ Deactivate or transfer fully sponsored UNIDs.

☐ Reassign or terminate research staff.

7. Laboratory Closeout:

☐ Initiate laboratory closeout procedures with Environmental Health & Safety (EHS) Office.

☐ Transfer or dispose of equipment as necessary.

☐ Transfer, dispose of, or export animals as necessary.

☐ Work with the OCM and OACC offices.

8. Final Reports and Invoices:

☐ Submit final reports and invoices for all awards.

9. Review and Update Policies:

☐ Ensure no research data or materials are taken by the departing faculty.

☐ Discuss exceptions for emeritus faculty conducting research activities.

10. Communication and Documentation:

☐ Draft and review offboarding documentation for faculty/PIs.

☐ Ensure all relevant parties are informed and involved in the offboarding process.

Appendix D. Items for Regulatory Binders for Studies

Items for Regulatory Binders for Studies
(U Box Folders)

Name of Study ______________________________

Funding Mechanism _________________________

Name of folder	Items needed	Date completed
Staff documentation	CVs/LOAs Training certificates	
IRB documents	PDF of IRB PDF of amendments (generally required every 2 years) Approved consent forms Approval e-mails from IRB	
Study protocol	One-pager about study (summary/versions) Proposal (funded/non-funded)	
Training log	Dates of project-related trainings	
Delegation log	List of people on study with role, contact info (email and cell phone), and start and end dated	
Data collection tools	Survey Guided interview schedules PDF Qualtrics/RedCap List of participants & dates of participation Signed consent forms, if applicable Data downloads Audio recordings Transcripts	
Purchasing log	List of all equipment purchases	
Gift card logs	Lists all gift cards provided to participants	
Cash Counting Log	Lists all petty cash provided to participants	

Appendix E. Undergraduate Research Program (OUR)

The University of Utah **Office of Undergraduate Research** **(OUR)** facilitates and promotes research collaboration between faculty and undergraduate students. OUR funds research assistants, and helps connect with motivated, high-performing undergraduate students who are eager to contribute. Students receive research-specific advising, social opportunities, and professional development from OUR. Both students and faculty have opportunity to share work and receive recognition.

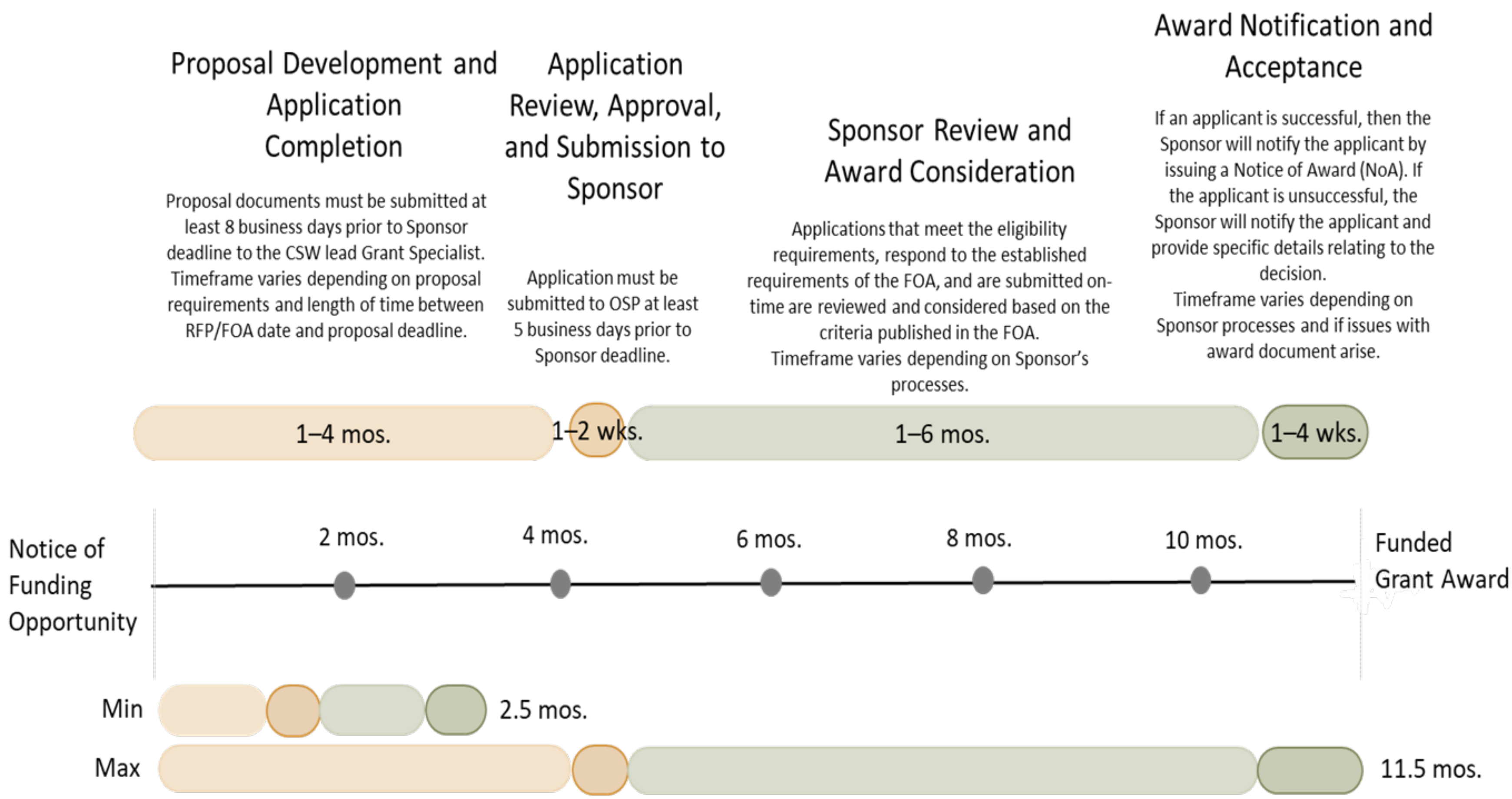
CSW faculty seeking a stipend for research assistants, who need a volunteer research assistant, or who need research assistants for a funded position can **post a research opportunity to the Research Opportunity Database**. This database of research projects (paid, volunteer, senior/honors thesis, and independent study credit projects) is published in multiple locations and is a primary source for students to find research projects. In addition to connecting with interested students, posting an opportunity to the Research Opportunity Database can help secure funding for research assistants. Once you begin working with a student, they may apply for a stipend to continue working on your project via OUR's Undergraduate Research Opportunities Program (UROP; see below)

The Undergraduate Research Opportunity Program (UROP): UROP provides 120 hours of funding for eligible student research assistants, up to two semesters per student. UROP students also receive OUR-provided educational programming and research advising. To connect with a UROP student, post a research opportunity on the Research Opportunity Database (see above). If there is a specific student already identified for a research assistant position, guide them in preparing a UROP proposal and you can provide a reference as the faculty mentor as part of this process. For more information, visit https://our.utah.edu/research-scholarship-opportunities/urop/.

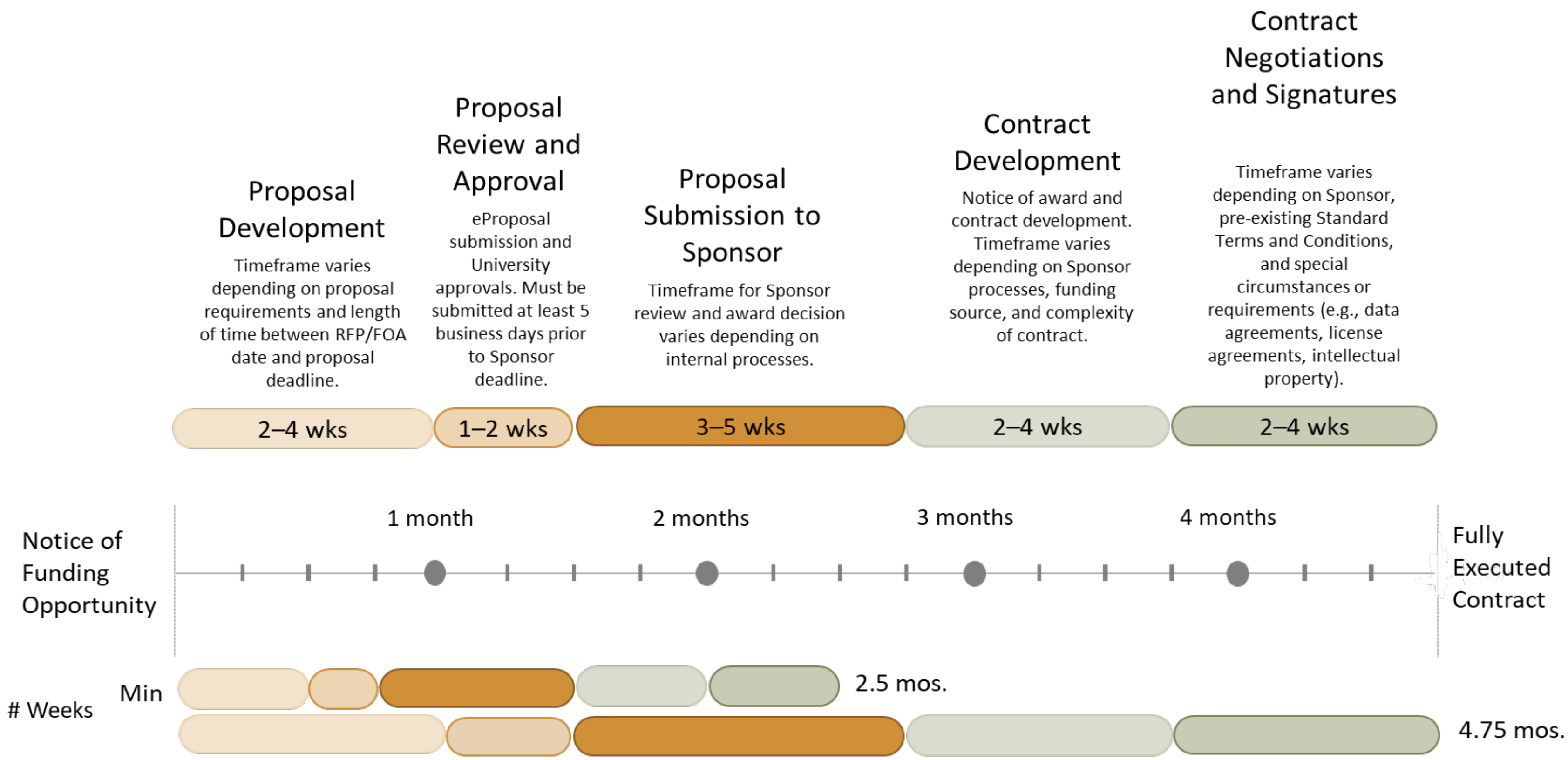
The Summer Program for Undergraduate Research (SPUR):

SPUR provides 350-400 hours funding for a student research assistant during 10 weeks of summer semester. SPUR students additionally engage in OUR-provided professional development, training and research advising. SPUR is nationally competitive and funds for students to travel to Utah are available. To participate, apply to be a Summer Program for Undergraduate Research (SPUR) mentor. Mentors are matched with a pool of funded applicants who apply for your specific project position. If your proposal is not selected for funding, but you still wish to mentor a SPUR student, you can also purchase a SPUR spot for a student by transferring the required funds to OUR. The student will receive full SPUR support e.g. professional development, training, and research advising.

Appendix F. Grants Pre-Award Estimated Timeline



Appendix G. Competitive Contracts Pre-Award Estimated Timeline



Appendix H. Grants & Contracts Post-Award Activities Estimated Timelines

Activity	Description	Estimated # of Weeks
Fully Executed Contract		
New Project Setup	eAward submission, PI/Key Personnel Conflict of Interest, department approvals, project setup, and project number assignment	2-4 weeks
Amendment(s)	Timeframe varies but typically takes less time than a new agreement.	3-6 weeks
Modifications	Timeframe varies depending on number and types of modifications submitted in eAward.	2-4 weeks
Project Closeout Preparations	PI receives 60-day notice from GCA that project is ending. All expenditures should be processed, and all outstanding obligations met, prior to the end date. Contact OSP/Sponsor if requesting an extension.	8 weeks
Project Closed	Projects are officially closed approximately 4 months after project end to ensure that all expenses have posted.	16+ weeks
Project Close		

Appendix I. Hiring Graduate Assistants

Hiring Research Assistants

The Role of a Research Assistant:

- Data Collection and Organization
- Literature Reviews and Searches
- Writing for Research or Publications
- Provide Administrative or Technical Support for Research
- Other Duties as Assigned

Hiring a Research Assistant is appropriate when:

- The funding for the research includes support for a Research Assistant
- The PI has funding available for Research Assistant wages
- The workload of the research requires additional assistance

Process for Hiring a Research Assistant:

If you have a candidate in mind for hire or would like to begin the advertising process, start by sending an email to CSWResources@utah.edu. The CSW Administrative team will help guide you through the next steps.

- Define the Role
- Create a job description and required qualifications
- Determine start/end dates
- Set the pay rate
- Verify Funding
- Confirm funding for the position with CSW research administration
- Conduct Candidate Search
- Using the CSW Advertisement Form template, create an advertisement
- Dependent upon the funding sources, positions may be advertised internally to the CSW, or externally to other University departments.
- If necessary, conduct interviews and contact references

Letter of Agreement

- The CSW admin will draft a Letter of Agreement. After the LOA is approved, the CSW admin will route for signatures to the PI and candidate via DocuSign

Onboarding Process

- CSW Administration will assist the new employee through the required steps
- I-9 verification & W-4 ii. Reporting hours & Direct Deposit

Appendix J. Gift Card Purchasing

Gift Card Purchasing

Before proceeding with the College of Social Work's gift card purchase process, please carefully review the guidelines, rules, and restrictions on gift card purchases outlined by the Purchasing Office at the University of Utah. You can find this information at Purchasing Gift Card Policies.

It is important to remember that gift cards are considered a cash equivalent, making them a high-risk item. Therefore, their purchase involves a detailed accountability process to prevent misuse or theft and to meet external reporting requirements. Should you have any questions or uncertainties, please refer to the University's guidelines and contact the Associate Dean for Research.

Roles:

- ***Account Executive*** *(usually the faculty or staff member responsible for the account to which the gift cards are charged)*
    - Determines Custodian, approves requests, approves U Shop purchase request, and is responsible for all funding. They may also complete and route, if needed, the initial request form, gift card request and order log, and physical gift card log.
- ***Gift Card Custodian****, as necessary (a student worker or staff member who assists in reconciliation)*
    - Completes and routes, if needed, the initial request form, gift card request and order log, and physical gift card log
- **Reconciler** (Designated CSW staff person approved to purchase gift cards)
    - Completes and routes, if needed, the initial request form, the U Shop gift card request form and places U Shop purchase request
- **Administrative Approver** (Associate Dean for Research)
- **Financial Verification Approver** (RSU)

Required Documents:

- **Initial Study/Research Participants Gift Cards Request Form (PDF)**
    - Only required if the gift cards request is for study/research participants.
    - This form needs to be completed by the gift card custodian or account executive and emailed to RSU (cswresearch@utah.edu for further processing.

- **Gift Card Request and Order Log (Excel)**
    - The yellow cells on this log need to be completed by the gift card custodian or account executive.
    - For physical gift card requests complete 1 row per order.
    - For electronic gift card requests complete 1 row per participant.
    - The document will also serve as the electronic gift card log. Physical gift cards will require a physical form, see 'Physical Gift Card Log (PDF)' below.
- **U Shop Gift Card Request Form (PDF)**
    - This form will be completed and routed for signatures by the RSU every time an order is placed.
- **Physical Gift Card Log (PDF)**
    - 25 rows per page for study/research participant signatures.
    - Needs to be printed.

Step 1
Account Executive determines who will be the custodian and they work together to send the initial request. Account Executive or custodian will email a request to cswresearch@utah.edu. If the gift cards aren't for study/research participants, in your email please state that information and where the funding comes from in the e-mail. If the gift cards request is for study/research participants, you will send an *Initial Study/Research Participants Gift Cards Request Form*.

Step 2
If the gift cards request is for study/research participants, once you return the form with all the required information, RSU will finalize and obtain the necessary signatures. No matter what the gift cards are for RSU will create a U Box folder and upload copies of the required documents listed above.

Step 3
When it is time to order physical gift cards or provide electronic gift cards to participants, the Account Executive or custodian needs to complete the *Gift Card Request and Order Log* and notify RSU via email.

Step 4
RSU will review the *Gift Card Request and Order Log* and route an updated copy of the *U Shop Gift Card Request Form* for signatures.

Step 5
Once signatures have been received on the *U Shop Gift Card Request Form,* RSU will process the U Shop orders for the physical gift cards and the electronic gift cards.

Step 6
The Account Executive will need to approve the U Shop orders.

Step 7 (physical gift cards only)

Once physical gift cards are received, they need to be counted by the Account executive or custodian, then the last 4 numbers of each gift card and the related purchase request number (this will be available on the *Gift Card Request and Order Log*) need to be added to the printed out copy of the *Physical Gift Card Log*.

Step 8 (physical gift cards only)
When providing gift cards to participants, the *Physical Gift Card Log* needs to be completed. In addition, an updated copy of the Physical Gift Card Log should be uploaded to the Shared U Box folder monthly.

If the gift cards request is for study/research participants and the *Initial Study/Research Participants Gift Cards Request Form* has been completed, then repeat steps 3 – 8, as needed.

Please note, if total amount or other information required on the *Initial Study/Research Participants Gift Cards Request Form* needs to be updated or increased, a new initial request form will be required to receive all necessary approvals for the updates or changes.

Timeline

- Gift cards and all information and forms will be processed on Mondays.
- This needs to be received prior to 9 AM on Tuesday mornings. If it is not received by the deadline, it will be processed the following week.
- *Physical gift cards can take up to 3 weeks for the custodian to receive*
- *Digital gift cards can take up to 2 weeks for the participant to receive*

Restrictions on Ordering Gift Cards

To prevent a surplus supply of gift cards and improve tracking, gift cards will only be ordered for study participants who will participate in the study within a month from order. The CSW will no longer place bulk orders in advance. This change ensures that only the necessary amount of gift cards is ordered, and the distribution and tracking processes are more streamlined.

Sharing Information via U Box

Each **Account Executive** will have a dedicated folder in **U Box** for tracking their gift card orders.

Access to these folders will be restricted to the individuals involved in each specific order, as well as the finance team for **Account Executive** and **Administrative Approver**.

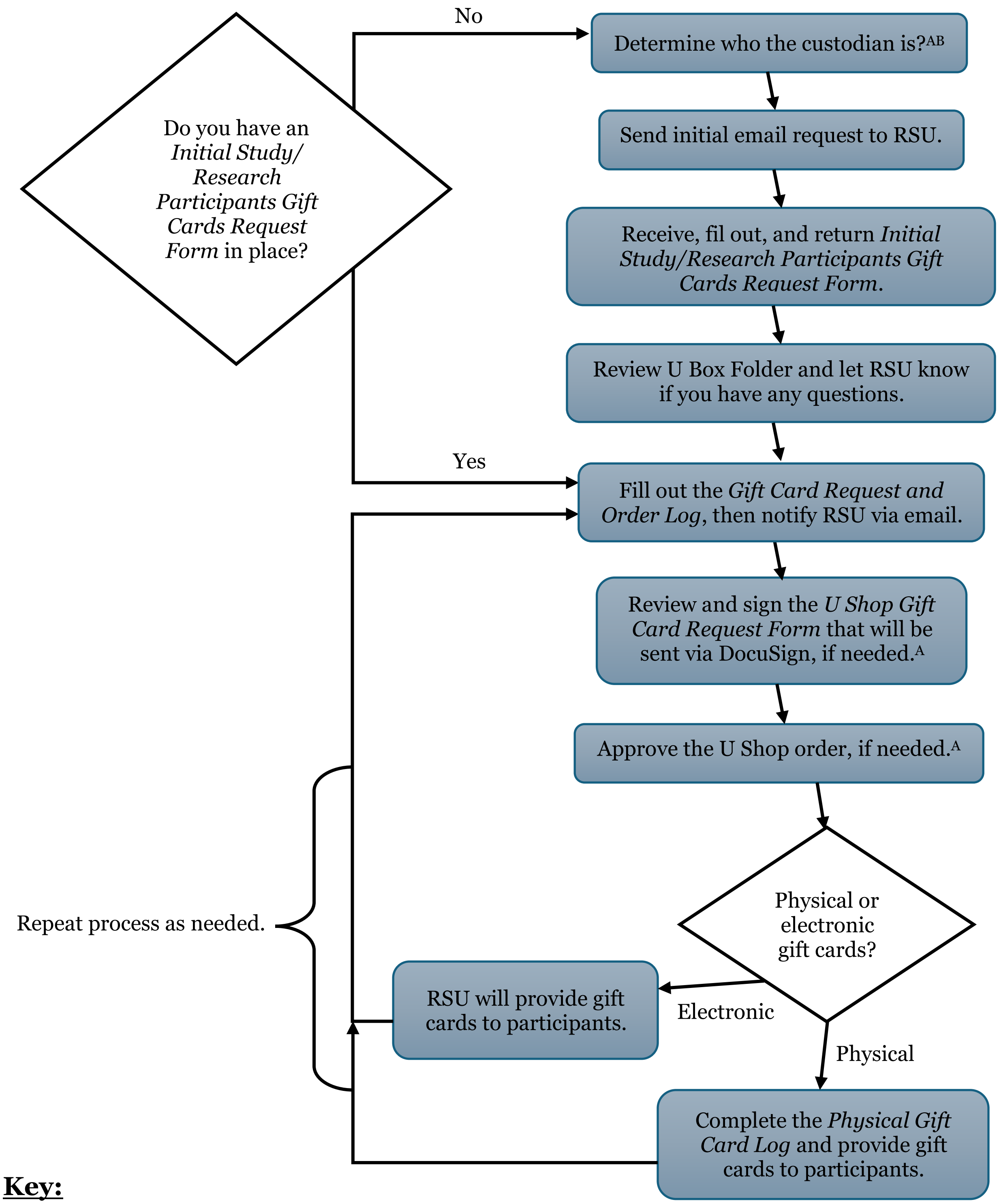
Recommendations for Ordering

We recommend using Amazon for gift card orders due to its integration with U Shop, which simplifies the process by eliminating the need for P-Card transactions. Additionally, Amazon allows us to track the gift cards to their recipients and reroute cards if necessary. For each study, a maximum of two types of gift cards (e.g., Amazon and Walmart) may be ordered. While we are encouraging the use of online gift cards for better tracking, physical cards may still be requested with advanced approval from the **Administrative Approver**.

Holiday and Vacation Scheduling

Please be aware that due to holidays and vacations, submission and order dates may vary. Any such changes will be communicated in advance, typically at least a week before the required deadline.

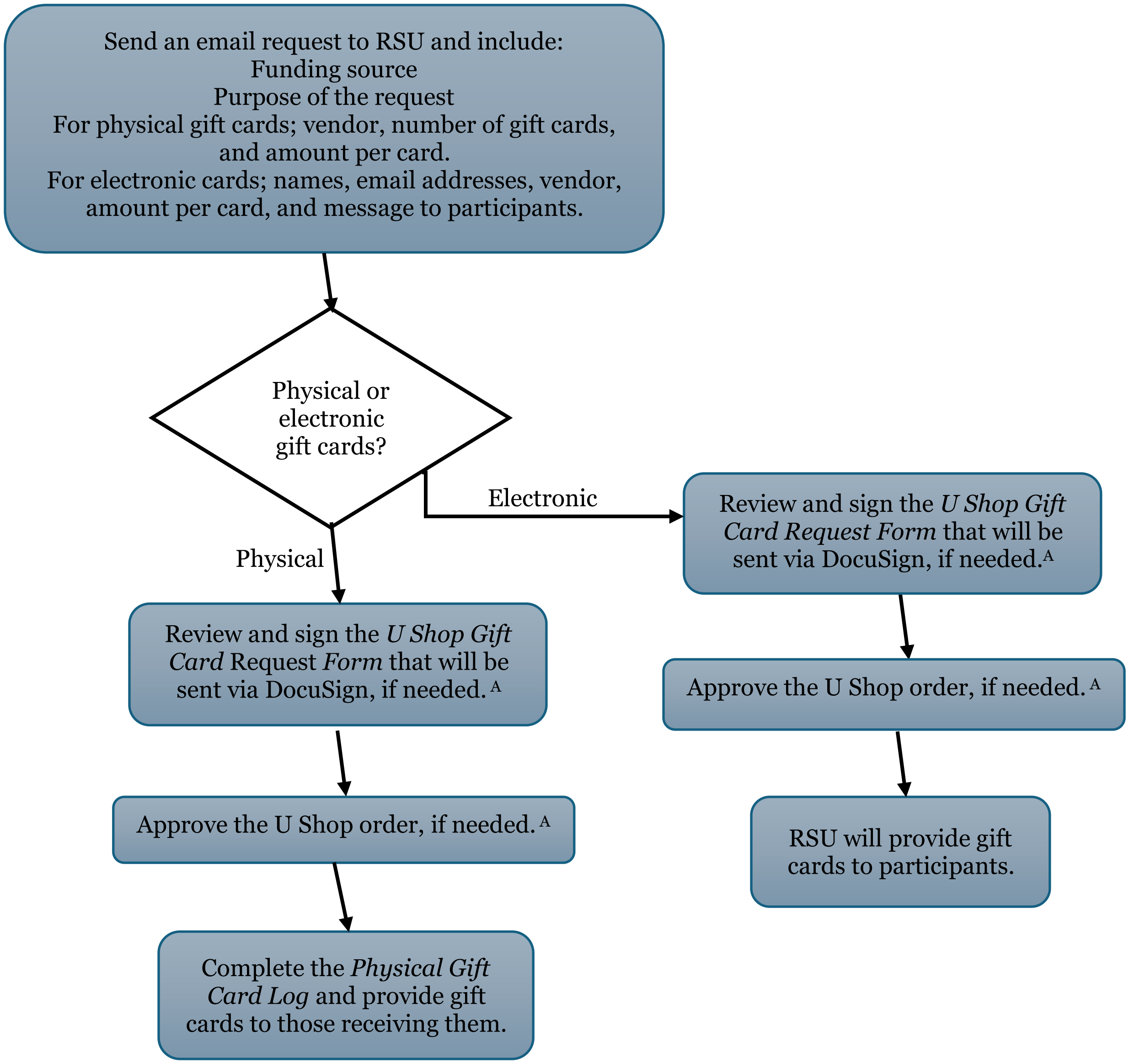
Study/Research Participant Gift Card Requests Flowchart



Key:

A. Account Executive's responsibility.
B. If you don't have someone who can be the custodian, let RSU know so they can help determine who can be the custodian.

All Other Gift Card Requests Flowchart



Key:

A. Account Executive's responsibility.

Appendix K. Petty Cash Process

CSW Petty Cash Process

(https://fbs.admin.utah.edu/ga/resources/petty-cash-fund-procedures/)
(https://fbs.admin.utah.edu/help/processing/epr/pc/)

Opening a Petty Cash Fund

1. Custodian will send request for petty cash to cswresearch@utah.edu and copy the Associate Dean for Research (ADR) with the following information:
    1. Amount
    2. Study where funds will come from
    3. Purpose of the petty cash, i.e., participant compensation
2. The RSU will fill out the petty cash Fund Request/Change Form and send for signatures.
3. Once complete/signed, the RSU will send the request form to Grants & Contracts Accounting (GCA) for 5000 funds
4. If human subjects are compensated from petty cash, a Patient Reimbursement Request form must be submitted as part of the documentation
5. GCA will create an ePR to cut a physical check directly to the petty cash custodian for the full amount of the petty cash requested
6. Custodian must track petty cash payments using the Petty Cash Recipient Log, along with any other documentation/receipts they may have

Cash Management

- Cash will be kept in a lockbox provided by the RSU.
- Cash will be counted at least once a week or any time when the cash box is opened and recorded in the Cash Counting Log and signed by a witness.
- All Cash, in and out, must be recorded in the log, even if it is a small amount.
- The Cash Counting Log must be filled out in its entirety, including the reason for accessing the box.
- An extra key for the lockbox will be kept by the ADR or other administrator in the main CSW office.

Replenishing Petty Cash

If additional petty cash is needed with an open petty cash fund, please contact cswresearch@utah.edu. Someone will work directly with the Custodian to request reimbursement with the following steps:

1. The Custodian will submit an ePR to replenish the petty cash spent:
    1. Login to CIS→Search ePayment Request (ePR)→Create New Payment Request→ Payment Type is "Petty Cash"→Custodian selects themselves to be reimbursed

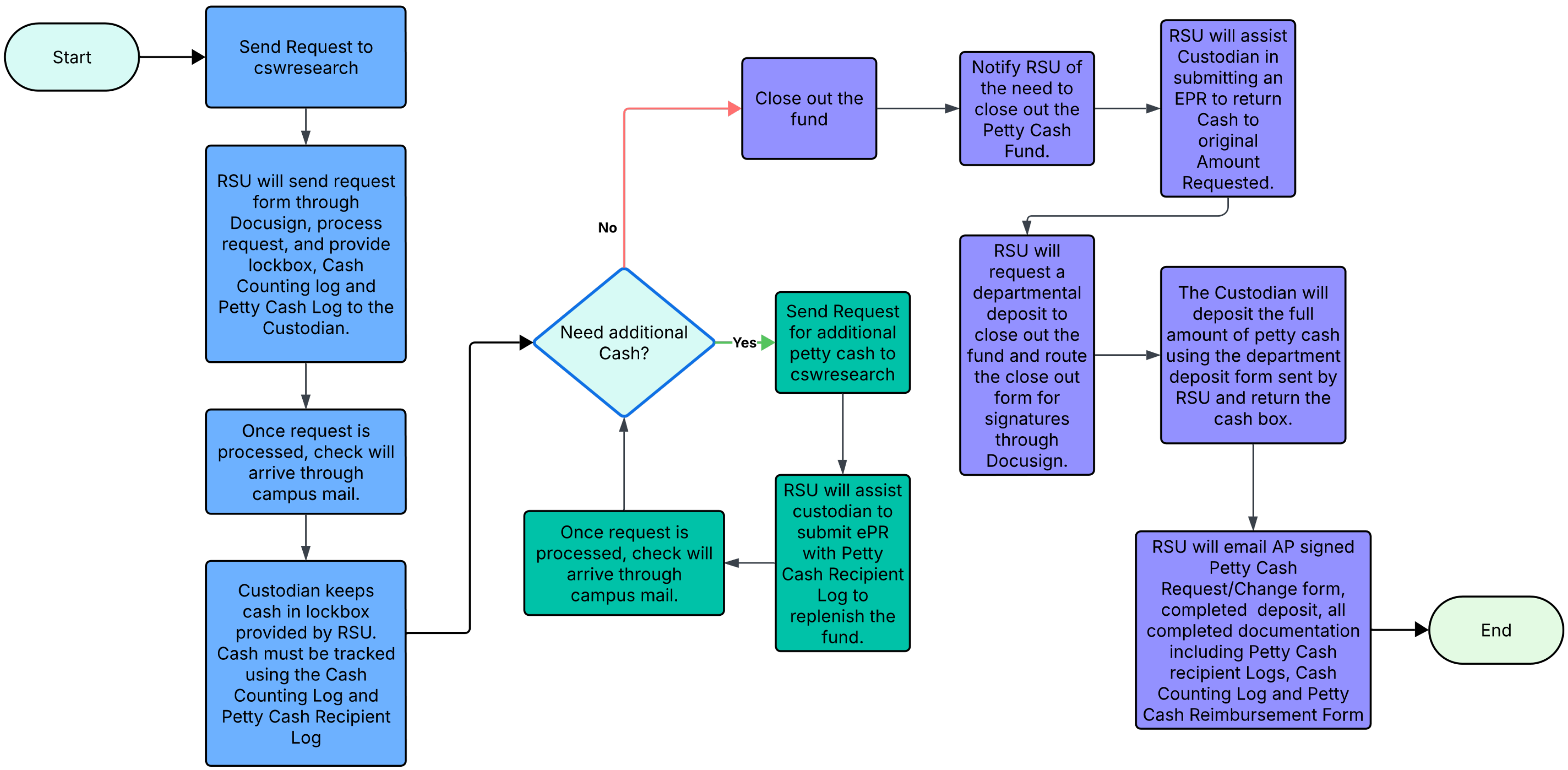
2. Handling code on ePR must be "Campus Mail as Check"
3. The Custodian should not use account 10100 for the reimbursement but instead use an expense account (for example – 61250, Participant Compensation). Please work with the RSU to ensure you have the correct account code.
4. Custodian will attach their documentation (completed Petty Cash Reimbursement Form and Petty Cash Recipient Log required) to the ePR. Please work with the RSU to ensure that documentation is filled out completely and accurately.
5. Once approved, Accounts Payable will cut a physical check to the petty cash Custodian to replenish the Petty Cash Fund.

Closing Petty Cash Fund

Once the Custodian has finished using the petty cash fund, they must replenish the fund to bring the total petty cash amount back to the original amount requested using the method above.

1. The Custodian will submit an ePR to be reimbursed for the total petty cash spent. The reimbursement should bring the total petty cash amount back to the original amount.
2. The custodian shall then inform the RSU of the check and/or cash amounts that will be deposited back into the petty cash account, which should total the full amount of the initial petty cash request
3. The RSU will assist in filling out the Petty Cash Request/Change Form to close the petty cash fund, which will need to route for signatures
4. The RSU will request a departmental deposit
5. Once the departmental deposit is approved, the RSU will forward the approved departmental deposit document to the Custodian
6. The Custodian will deposit the cash and/or check with the approved departmental deposit document in the Student Services Building and return the cash box to RSU.
7. Once the departmental deposit is fully processed, the RSU will email Accounts Payable, copying the Custodian:
   - Petty Cash Request/Change Form noting the petty cash close
   - All documentation, including the completed Petty Cash Reimbursement Forms, Petty Cash Recipient Logs and any receipts, honorariums, etc. the Custodian may have
   - Completed departmental deposit

Petty Cash Request Flow Chart



Appendix L. Review of Endowed Chair Requirements

Review of Endowed Chair Requirements

Endowed chairs are among the most prestigious positions in the University.

Distinguished scholars and leaders who are appointed as endowed chairs are expected to enhance the quality of the university's programs through their contributions to research and scholarship, teaching, clinical practice, and/or service. These positions also enhance the reputation of the university and help to attract quality students and faculty members.

In accordance with University of Utah Policy 9-003 and Rule 9-003, faculty members appointed as endowed chair are to undergo a careful review of performance no less frequently than every five years. "The file assembled for purposes of the review shall give special emphasis to those achievements during the current period under review that pertain to the position with the regulated title, and to the expectations for continuing accomplishments befitting such a position."

When a review is due, and no later than 8 weeks from the date information is requested, endowed chairs send the following items to the dean of the College of Nursing:

1. A narrative of five pages or less, outlining the endowed chair's accomplishments (see below for more detail).
2. A current curriculum vitae.

Considering the expectations of their endowed chair, endowed chairs write a narrative regarding how they used their role, expertise, and endowment funds to push the frontiers of discovery and/or education, pursue and make innovative contributions, achieve meaningful impact, and through their work give the donor the opportunity to leave a lasting legacy to the College.

- **Research, scholarly, or creative accomplishments; and future goals**
  - Demonstrated a distinguished and sustained record of achievement as evidenced by, but not limited to,
    - Discovering and creating new knowledge.
    - Securing extramural grants to fund a program of research or scholarship.
    - Disseminating research or scholarship via peer-reviewed publications and presentations.
    - Synthesizing knowledge into products that are accessible and applicable to scientists, educators, health care leaders, clinicians, policymakers, and/or the public.

    - Directing research or scholarly activities of post-doctoral fellows and/or undergraduate or graduate students.
    - Submitting grant applications and disseminating research or scholarship with mentees, including junior faculty, post-doctoral fellows, and students.
    - Applying for patents.
  - Received University, national, or international awards recognizing research, scholarly, or creative accomplishments.
  - Future goals: In accordance with the purpose and nature of the endowed chair position, and the mission of the University and College of Nursing, describe goals and plans for the next five years.
- **Teaching accomplishments and future goals**
  - Demonstrated a distinguished and sustained record of achievement as evidenced by, but not limited to,
    - Developing innovative curriculum, teaching activities, and/or education programs.
    - Co-teaching with mentees, including junior faculty, post-doctoral fellows, and/or teaching assistants. o Received University, national, or international awards recognizing teaching accomplishments.
  - Future goals: In accordance with the purpose and nature of the endowed chair position, and the mission of the University and College of Nursing, describe goals and plans for the next five years.
- **Leadership, service, or community engagement accomplishments; and future goals**
  - Demonstrated a distinguished and sustained record of achievement as evidenced by, but not limited to,
    - Demonstrating a high level of excellence within the profession, and area of expertise.
    - Maintaining an active presence in the University, and representing it within the larger professional community.
    - Significantly engaging with international, national, state, or local organizations, including government agencies.
    - Mentoring faculty, students, and/or post-doctoral fellows.
    - Exhibiting international and national stature as demonstrated by:
  - Delivering invited keynote lectures and other presentations
  - Serving in significant leadership positions for international or national professional organizations or societies.
  - Consulting with institutions, groups, or individuals regarding area of expertise.
  - Serving in a senior editorial position for a high-quality scholarly journal.

        - Received University, national, or international awards recognizing leadership, service, or community engagement accomplishments.
        - Future goals: In accordance with the purpose and nature of the endowed chair position, and the mission of the University and College of Nursing, describe goals and plans for the next five years.
- **Clinical practice, if applicable, accomplishments and future goals**
    - Demonstrated a distinguished and sustained record of achievement as evidenced by, but not limited to,
        - Leading or developing collaborative practice initiatives with the College's faculty practices and/or with interdisciplinary colleagues at the local and regional level.
        - Consulting with individuals, groups, or institutions regarding practice topics.
        - Maintaining or expanding certification in a specialized area of practice.
        - Directing clinical activities and facilitating implementation of student practice-related projects.
        - Mentoring junior faculty, and undergraduate or graduate students in area of practice expertise.
        - Received University, national, or international awards recognizing clinical practice accomplishments.
    - Future goals: In accordance with the purpose and nature of the endowed chair position, and the mission of the University and College of Nursing, describe goals and plans for the next five years.

The dean will evaluate the materials and make a recommendation regarding reappointment to the Senior Vice-President for Health Sciences. The Senior Vice President for Health Sciences or designee has sole discretion regarding whether to recommend or not recommend renewal of the appointment to the university President.

Appendix M. Travel Support for Research Presentations

Travel Support for Research Presentations

Beginning in fiscal year ’26, the ADR’s office will provide $1,500 per person for the first 6 faculty to request these travel funds. These funds will be available annually if the ADR’s office has the funding.

To apply for these funds, people will need to submit a travel application, which can be accessed by contacting CSW Resources (cswresources@utah.edu).

In the description of the application, please describe the need for the funds for travel to a research conference for a presentation (oral, poster, roundtable, keynote, etc.). The funds can only be used for the conference specified in the request—a separate travel funding request must be submitted for each conference. In addition, evidence of presentation acceptance must be provided with the travel request.

The preferred conference is the Society for Social Work Research (SSWR); however, other conferences will be considered. If the individual decides not to attend the conference, the travel funding may not be rolled over for a different conference or for a different year.

Finally, the funding can be used for conference registration, airfare, hotel, ground transportation, and per diem.

Appendix N. University Resources

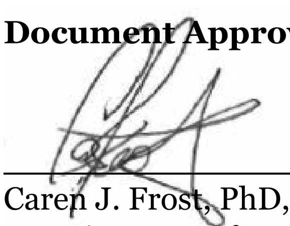
University of Utah Resources

1. Responsible and Ethical Conduct of Research: https://education.research.utah.edu/responsible_conduct_of_research.php
2. OSP Policies & Compliance: https://osp.utah.edu/policies/
3. OSP Research Handbook, Research Related Regulations, Policies & Procedures: https://osp.utah.edu/policies/handbook/research-regulations/
4. Office of Environmental Health and Safely: https://oehs.utah.edu/topics/lab-management-system
5. Study Delegation Log: https://qualitycompliance.research.utah.edu/toolkit.php#modal-study-delegation-log
6. Training Log: https://qualitycompliance.research.utah.edu/toolkit.php#modal-training-log
7. Institutional Review Board Training: https://irb.utah.edu/training/
    a. Human Subject Research Training
    b. Collaborative IRB Training Initiative (CITI).
    c. Good Clinical Practice Training
8. Research Education (Red) Class Catalog: https://education.research.utah.edu/red_classes/index.php
    a. RED 730-732 and 710 Responsible Conduct of Research (RCR) – Faculty/Staff
    b. RED 730 Foundations of Responsible Conduct of Research (RCR) - Faculty & Staff: https://education.research.utah.edu/red_classes/foundations-of-rcr-faculty-staff.php
    c. RED 731 Case Studies in the Responsible Conduct of Research (RCR/RECR): https://education.research.utah.edu/red_classes/case-studies-in-the-responsible-conduct-of-research.php
    d. RED 732 Research Participant Advocacy and the Informed Consent Process: https://education.research.utah.edu/red_classes/research-participants-and-the-informed-consent-process.php

e. RED 710 Introduction to Research Mentoring: https://education.research.utah.edu/red_classes/introduction-to-research-mentoring.php
f. RED 740-744 Compliance in Research Activities
g. RED 740 Foundations in Research Compliance: https://education.research.utah.edu/red_classes/foundations-in-research-compliance.php
h. RED 741, RED 742 Source Documentation in Research: https://education.research.utah.edu/red_classes/source-documentation-for-clinical-research.php
i. RED 743 Introduction to ClinicalTrials.gov: https://education.research.utah.edu/red_classes/introduction-to-clinicaltrialsgov.php
j. RED 744 Expectations for Compliance in Human Subject Research: https://education.research.utah.edu/red_classes/expectations-for-compliance-in-human-subject-research.php
k. RED 304 and RED 764-766 Research Data Management
l. RED 304 Introduction to Research Data Management: https://education.research.utah.edu/red_classes/intro-to-research-data-management.php
m. RED 764 Research Data Management and Sharing: https://education.research.utah.edu/red_classes/research-data-management-and-sharing.php
n. RED 765 Data Wrangling and Cleaning in OpenRefine: https://education.research.utah.edu/red_classes/data-wrangling-and-cleaning-in-openrefine.php
o. RED 766 Ethical Data Visualization: https://education.research.utah.edu/red_classes/ethical-data-visualization.php

Document Approval and Revision History

Document Approval



12/17/2025

Caren J. Frost, PhD, MPH Date
Associate Dean for Research (College of Social Work)

Revision History

Version date	Change Summary
December 17, 2025	Original Version