

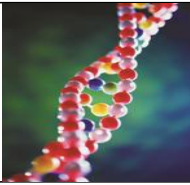


Commonwealth Health Research Board [CHRB]

Policies and Procedures

Effective July 1, 2021

The CHRB Policies and Procedures and the CHRB Grant Guidelines and Application Instructions govern the CHRB's grant application, review, selection, award, reporting, and other post-award requirements and procedures; therefore, you should read and become familiar with both documents. Applicants are required to comply with the contents of both documents.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Table of Contents

Goals, Purposes and Accomplishments of the Commonwealth Health Research Board (CHRB)	2
Commonwealth Health Research Fund [CHRF]	2
CHRB Current and Historical Funding	3
Comparison of Success Rates	4
CHRB Grant Awards and Funded Types or Categories of Research	5
Subcontracting with other Institutions and Organizations	6
Requests for Reconsideration During Grant Process	7
Requests for Reconsideration During Term of an Awarded Grant	8
Requests for Reconsideration Regarding Termination or Revocation of Grant Award or Portion Thereof	8
Proposed Changes to the CHRB Grant Award	9
Request for Budget Reallocation	10
Request for Grant Extensions	11
Substantive and Nonsubstantive Changes between the Concept Paper and Full Proposal Submissions	12
Principal Investigators, Co-Investigators, Collaborators, Advisors/Mentors and Consultants	13
Undergraduate, Graduate Students enrolled in a Master or Doctoral Program and Postdoctoral Participants	14
Change in Academic Affiliation	15
Replacement of a Principal Investigator	15
Change in Institutional Official	16
Human Subjects/Animal Welfare Concerns	16
Scientific Review of Concept Paper and Full Proposal Submissions	16
PDF Copies are Required and Are Accepted as Originals in the Circumstances Specified	16
CHRB Grant Applications – Compliance with Federal and State Laws	17
Project Cancellation or Termination/Revocation of Grant Award or Portion Thereof	17
Disclosure of Conflict of Interest	17
Extended Absence from the CHRB Project	17
Request for Feedback from Review of Concept Paper, Full Proposal or Presentation of the Full Proposal to the Board	18
CHRB Grant Award Scientific and Fiscal Reporting Requirements	19
Audit Requirements and Access to Records	20
Licenses, Patents, Copyrights and Income-Producing Inventions	21
CHRB Annual Evaluation Report, Additional Reporting Requirements and Acknowledgement of Support	22
Release of Concept Paper and Full Proposal Submissions	23
Allowable/Unallowable Costs and Restrictions	24
Definitions	27



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Goals, Purposes and Accomplishments of the Commonwealth Health Research Board [CHRB]

The Commonwealth Health Research Board [CHRB or Board] was created by *Virginia Code* §32.1-162.23 to provide financial support—in the form of grants, donations, or other assistance—for research efforts having the potential of maximizing human health benefits for the citizens of the Commonwealth. Research efforts eligible for support by the Board may include traditional medical and biomedical research relating to the causes and cures of diseases, as well as research related to health services and the delivery of health care.

In accordance with *Virginia Code* §32.1-162.24, the Board encourages collaborative research efforts among two or more institutions or organizations, gives priority to those research efforts where Board support can be leveraged to foster contributions from federal agencies or other entities, and supports both new research efforts and the expansion or continuation of existing research efforts. CHRB grant recipients — for grant awards life-to-date — have leveraged over \$38.2 million in additional private and federal grant funds to further their research studies. Additionally, numerous publications in peer-reviewed scientific journals and periodicals as well as presentations of the data at regional and national scientific meetings have resulted from CHRB grant funded research projects.

Commonwealth Health Research Fund [CHRF]

Virginia Code § 51.1-124.36 delegates the authority to invest and manage the assets of the Commonwealth Health Research Fund (CHRF) to the Virginia Retirement System (VRS). Assets of the CHRF are pooled with the \$96.4 billion VRS investment fund (as of March 31, 2021); however, the provision requires the VRS to maintain a separate accounting for the CHRF assets. The current asset allocation for the VRS investment fund reflects 39.2% public equity, 13.7% fixed income, 13.6% credit strategies, 12.2% real assets, 14.6% private equity, 1.9% Private Investment Partnership (PIP), 3.0% Multi-Asset Public Strategies (MAPS) and 1.8% cash. The estimated value of the CHRF as of as of March 31, 2021 was \$45 million.

Pursuant to *Virginia Code* §32.1-162.28(E), Grant funding is calculated by an amount not to exceed six percent of the moving average of the market value of the CHRF calculated over the previous five years on a one-year delayed basis, net of any administrative fee assessed pursuant to subsection E of § 51.1-124.36. The amount may be expended in a calendar year for any purpose permitted by the CHRB/CHRF's governing statutes.

The Department of Accounts serves as the fiscal agent for the Commonwealth Health Research Board through a Memorandum of Understanding. Audits are conducted every two years by the Auditor of Public Accounts.

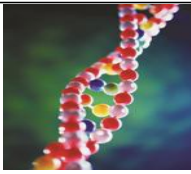


**Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021**

CHRB Current and Historical Funding

Since its inception, the CHRB has made 260 grant awards totaling almost \$22.2 million in grant funding to institutions of higher education and other not-for-profit or nonprofit organizations that conduct health, or health-related research in Virginia. When the required 33% matching funds are added to the CHRB funded amount, the cumulative funding totals \$32.1 million for health research in Virginia. More detailed information is provided by year in the chart below. For a description of past CHRB grant awards and abstracts, visit CHRB's website at www.chrb.org.

Grant Year	Total Grant Awards	Number of New Grant Awards	Number of Ongoing Grant Awards	CHRB Grant Awards	Grantee Matching Funds	Total Project Funds
1999	9	9	0	\$597,377	\$272,041	\$869,418
2000	11	11	0	\$717,442	\$305,309	\$1,022,751
2001	13	13	0	\$825,590	\$344,954	\$1,170,544
2002	12	12	0	\$718,382	\$344,603	\$1,062,985
2003	8	8	0	\$509,806	\$199,999	\$709,805
2004	14	10	4	\$868,514	\$367,202	\$1,235,716
2005	10	6	4	\$755,436	\$305,909	\$1,061,345
2006	12	8	4	\$954,058	\$451,983	\$1,406,041
2007	12	7	5	\$1,105,585	\$512,493	\$1,618,078
2008	12	8	4	\$1,102,030	\$446,400	\$1,548,430
2009	8	2	6	\$727,615	\$310,338	\$1,037,953
2010	9	7	2	\$775,105	\$312,808	\$1,087,913
2011	11	5	6	\$1,061,644	\$397,212	\$1,458,856
2012	8	6	2	\$799,746	\$327,186	\$1,126,932
2013	8	5	3	\$746,688	\$372,766	\$1,119,454
2014	11	6	5	\$1,017,500	\$558,485	\$1,575,985
2015	13	7	6	\$1,213,983	\$645,285	\$1,859,268
2016	11	6	5	\$1,077,444	\$526,569	\$1,604,013
2017	11	6	5	\$1,019,696	\$445,311	\$1,465,007
2018	13	8	5	\$1,251,185	\$577,194	\$1,828,379
2019	14	8	6	\$1,399,997	\$583,883	\$1,983,880
2020	16	8	8	\$1,517,067	\$700,610	\$2,217,677
2021	14	8	6	\$1,400,000	\$653,582	\$2,053,582
Cumulative Total	260	174	86	\$22,161,890	\$9,962,122	\$32,124,012



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Comparison of Success Rates [based upon a five-year average]

Step 1: Concept Paper to Step 2: Submission of a Full Proposal	Step 2: Submission of a Full Proposal to Step 3: Presentation of the Full Proposal to the Board	Step 3: Presentation of Full Proposal to the Board to receiving a CHRB Grant Award
30%	58%	62%

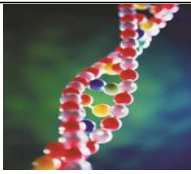
Success rate from the submission of a Concept Paper to being awarded CHRB grant funding = **11%**

Grants Cycle	Step 1: Concept Papers submitted	Step 2: Full Proposals submitted	% Success Full Proposals	Step 3: Full Proposals Presented	% Success Present	New Grant Awards	% Success Awards	From Step 1 to Awards
2021/2022	69	22	32%	14	64%	8	57%	12%
2020/2021	74	22	30%	11	50%	8	73%	11%
2019/2020	76	23	30%	13	57%	8	62%	11%
2018/2019	73	20	27%	14	70%	8	57%	11%
2017/2018	66	21	32%	10	48%	6	60%	9%
Cumulative 5-year Total	358	108		62		38		
Cumulative 5-year Average	72	22	30%	12	58%	8	62%	11%

Please note:

[1] This chart excludes two-year grant awards that are approved for Year 2 funding.

[2] *Beginning with the FY2016/2017 CHRB Grant Process, the number of Concept Papers allowed for submission by any one institution or organization decreased from 15 to 10 submissions. Beginning with the FY 2018/2019 CHRB Grant Process, the number of Concept Papers allowed for submission increased from 10 to 12 per institution or organization.



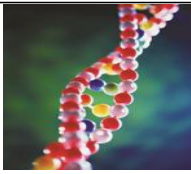
Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

CHRB Grant Awards and Funded Types or Categories of Research

The chart below provides statistics concerning the number of CHRB Grant Awards funded by type or category of research, from 1999 to 2021.

Key Codes	Disease/Research Area	1999 to 2021 Grant Awards	1999 to 2021 Grant Awards in CHRB Dollars
AG	Aging and Diseases of the Aging	6	\$710,675
BD	Behavioral Disorders	7	\$734,039
BV	Bacterial and Viral Diseases and Treatments	23	\$3,722,381
CA	Cancer and Cancer Treatment	41	\$5,356,520
CB	Cartilage and Bone	6	\$776,078
CV	Cardiovascular Disease	14	\$1,726,209
DI	Diabetes	11	\$1,380,685
DM	Drug Metabolism	2	\$125,900
DA	Drug Addiction and Alcoholism	1	\$83,350
EE	Eye and Ear Diseases	5	\$678,925
GI	Gastrointestinal Diseases	3	\$248,274
GE	Genetics	0	\$0
HS	Health Services Research	3	\$181,126
HE	Hematology	5	\$220,983
KD	Kidney Disease	3	\$340,927
LD	Lung Disease	9	\$1,084,083
ME	Metabolism	8	\$716,082
ND	Neurological Disorders	15	\$2,570,238
WH	Women's Health	7	\$751,560
PD	Psychiatric Diseases	2	\$278,382
WO	Wound Healing	1	\$76,373
ZZ	Other	2	\$399,100
	Total	174	\$22,161,890

A one-year or two-year grant award is still considered one grant award for purposes of categorizing disease/research areas.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Subcontracting with other Institutions and Organizations

Collaborating Co-Investigators:

Only one Grantee Institution or Organization is recognized by the CHRB as the award recipient. As such, all matching funds must be contributed by the Grantee Institution or Organization, not by the Collaborating Institution. The Grantee Institution or Organization is responsible for providing the 33% institutional or organizational matching funds for each year that CHRB funds are being requested. Grant payments are made only to the Grantee Institution or Organization that is identified as the award recipient.

All award recipients must meet the eligibility requirements as provided in *Virginia Code* §32.1-162.26:

<p>State-supported Virginia institutions of higher education</p>	<p>Agencies of the Commonwealth of Virginia</p>	<p>Nonprofit Organizations exempt from income taxation pursuant to § 501 c (3) of the Internal Revenue Code located in the Commonwealth of Virginia.</p>
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Collaboration with other eligible institutions of higher education and other eligible organizations is encouraged. The Grantee Institution or Organization is responsible for ensuring that all collaborating Co-Investigators meet the same eligibility requirements as if they were employed by the Grantee Institution or Organization for payment under the CHRB Grant Agreement. Keep in mind that a Co-Investigator/ Collaborator is defined as an individual located at and employed by the Applicant Institution or Organization who assists with the research project or an individual at a CHRB-eligible institution or organization who partners with the Applicant Institution or Organization on the research project.

Costs for services provided by a Co-Investigator located at an eligible institution other than the applicant institution are to be the subject of a formal subcontract, memorandum of understanding, or affiliation agreement, between the Grantee Institution or Organization and the collaborating Co-Investigator’s institution or organization.

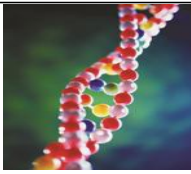
Concept Paper:

Although the applicant is not required to submit copies of such documents with the Concept Paper, please note that the Concept Paper must state that a subcontract, memorandum of understanding or affiliation agreement will be in place with the Co-Investigator’s institution or organization before the CHRB makes the first payment if a grant award is made.

Full Proposal:

The Full Proposal must include a copy of each subcontract, memorandum of understanding, or affiliation agreement, and of any documentation supporting the Grantee Institution’s, or Organization’s, determination, regarding the collaborating Co-Investigator’s institution’s or organization’s ability to meet the eligibility requirements established by the CHRB’s Guidelines, as Attachment 9.

If the collaborating Co-Investigator’s institution or organization will not issue a subcontract, memorandum of understanding, or affiliation agreement until a grant award is made, a letter of intent will suffice as long as the Principal Investigator understands that the subcontract, memorandum of understanding, or affiliation agreement would have to be in place and a copy of it would need to be provided to the CHRB before any payment is made. If said subcontract, memorandum of understanding, or affiliation agreement has not been executed, the CHRB will cancel the grant award and no funds will be disbursed.



Requests for Reconsideration During Grant Application Review Process

Requests for reconsideration of decisions made by the CHRB at any stage of the grant application review process must be made by the Principal Investigator [PI] and the Applicant Institution or Organization, within **seven** business days of the date that the PI and the Applicant Institution or Organization are notified of the Board’s decision. The request for reconsideration must be submitted in writing by the Applicant Institution’s or Organization’s Office of Sponsored Programs or Office of Research to the CHRB Administrator for forwarding to the CHRB Chair. The letter of request may be sent via e-mail with an attachment of a PDF copy of the letter utilizing DocuSign Digital signatures.

Requests for reconsideration of decisions made by the CHRB during the grant application review process can be made by the Principal Investigator and the Applicant Institution or Organization only where there are documented factual errors in the review of the Concept Paper or the Full Proposal. For example, if the review states the investigator has no expertise in the area of research proposed, but the proposal clearly identifies several related publications by the investigator, a request for reconsideration can be made and the CHRB may exercise its discretion to reconsider its review of that application.

In the written request for reconsideration, the Principal Investigator and the Applicant Institution or Organization must identify the specific factual errors that constitute the basis for the request for reconsideration of the Board’s decision. If the request for reconsideration does not contain this information, the request for reconsideration may be denied. The reconsideration request is not an opportunity to provide additional information to supplement or make corrections to the original Concept Paper or, if applicable, the Full Proposal submission.

Decisions regarding reconsideration requests for any of the reasons provided below may be made by the CHRB Chair after consultation with the CHRB Administrator and at least one of the scientific consultants and individual polling of the members of the CHRB. The CHRB Chair’s decision shall be final in this instance and shall be communicated to the PI and to the Applicant Institution or Organization in writing within 14 business days [excluding state holidays] of the CHRB Administrator’s receipt of the written request for reconsideration.

Types of determinations for which requests for reconsideration can be made during the grant application review process if a documented factual error in the review has been demonstrated include the following:

1	2	3
Denial of a full scientific review of a Concept Paper or Full Proposal due to noncompliance with CHRB Grant Guidelines and Application Instructions or CHRB Policies and Procedures.	The CHRB’s decision not to request that a Concept Paper, that has received a full scientific review, be developed into a Full Proposal submission.	The CHRB’s decision not to request that a Full Proposal submission be presented to the Board.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Requests for Reconsideration During Grant Period of an Awarded Grant

If, during the Grant Period of an Awarded Grant, the CHRB makes a decision to deny a request regarding:

1	2	3	4
A proposed change in the research protocol of the Grant project,	A proposed change concerning any member of the approved research team,	A proposed change in salary or percentage of effort allocated to any member of the approved research team, or	A proposed change to the approved budget.

The Principal Investigator and the Grantee Institution or Organization, may submit a written request to the CHRB for a reconsideration of the CHRB's decision to deny the request. Such a request for reconsideration, however, may be made only if the Principal Investigator and the Grantee Institution or Organization allege error(s) in the facts upon which the CHRB based its decision.

Requests for Reconsideration Regarding Termination or Revocation of Grant Award or Portion Thereof

If, during the Grant Period of an Awarded Grant, the CHRB terminates or revokes a grant, or any portion thereof, for failure to comply with any of the CHRB's *Grant Guidelines and Application Instructions*, any of the CHRB's *Policies and Procedures effective July 1, 2021*, or any requirement set forth in the Grant Agreement, the Principal Investigator and the Grantee Institution or Organization may submit a written request to the CHRB for a reconsideration of the CHRB's decision to deny the request. However, such a request for reconsideration may be made only if the Principal Investigator and the Grantee Institution or Organization's alleged error(s) in the facts was which the CHRB based its decision.

Instructions for submitting a reconsideration request to the CHRB under either scenario:

1. Any request for reconsideration during the Grant Period of an Awarded Grant must be made by the Principal Investigator [PI] and the Authorized Institutional Official at the Grantee Institution or Organization, within **seven** business days of the date that the PI or Applicant Institution or Organization is notified of the Board's decision.
2. The request for reconsideration must be submitted in writing to the CHRB Administrator for forwarding to the CHRB Chair.
3. The written request must identify the specific factual errors that constitute the basis for the request for reconsideration of the Board's decision.
4. The letter of request may be sent via e-mail with an attachment of a PDF copy of the letter utilizing DocuSign Digital signatures.

Decisions regarding all reconsideration requests may be made by the CHRB Chair after consultation with the CHRB Administrator and at least one of the scientific consultants and individual polling of the members of the CHRB. The CHRB Chair's decision shall be final in this instance and shall be communicated to the PI and to the Applicant Institution or Organization in writing within 14 business days [excluding state holidays] of the CHRB Administrator's receipt of the written request for reconsideration.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Proposed Changes to the CHRB Grant Award

After a CHRB Grant Award has been made, the Principal Investigator [PI] must notify and request prior approval in writing from the CHRB Administrator for:

✓	✓	✓
Proposed changes or updates in the research protocol including providing copies of Institutional Review Board [IRB] and/or Institutional Animal Care and Use Committee [IACUC] protocol approval letters for any proposed changes	Proposed changes regarding the Principal Investigator, or other identified members of the approved research team, including any proposed change to the salary or percentage of effort allocated to any individual member of the approved research team	Proposed changes to the Approved Grant Budget (the budget described in the Full Proposal and approved as part of the CHRB Grant Award whether the line item is for personnel or non- personnel [supplies, animal purchase/maintenance, services and equipment])

Instructions for submitting proposed changes to the CHRB:

1. Requests for proposed change(s) to the CHRB Grant Award must be submitted by the Principal Investigator [PI] and the Applicant Institution or Organization **in advance** of the proposed change(s) and prior to expending any portion of the grant related to the proposed change(s).
2. The request for the proposed change(s) must be submitted in writing to the CHRB Administrator for forwarding to the CHRB Chair following a review by one of the scientific consultants.
3. The letter of request may be sent via e-mail with an attachment of a PDF copy of the letter utilizing DocuSign Digital signatures.

Decisions regarding all requests for proposed changes may be made by the CHRB Chair after consultation with the CHRB Administrator and at least one of the scientific consultants. The CHRB Chair’s decision shall be final in this instance and shall be communicated to the PI and to the Applicant Institution or Organization in writing within 14 business days [excluding state holidays] of the CHRB Administrator’s receipt of the written request for reconsideration.

Even if the project has already begun when the need for the proposed change arises, written approval from the CHRB Chair must be obtained before the change is made. If the CHRB Chair determines, after consultation with at least one scientific consultant, that the CHRB does not authorize the proposed change, the CHRB Chair notifies the PI in writing of that decision. Such decisions are made within the sole discretion of the CHRB Chair. As a condition of the Grant Agreement, the parties must expressly agree that if an unauthorized change occurs, further expenditure of grant funds is improper, and the grant funds must be repaid to the CHRB immediately upon demand.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Request for Budget Reallocation

The Principal Investigator and the Grantee Institution or Organization, by and through the Institutional Official, or his or her successor, must agree and acknowledge that the Budget which has been approved for the Grant Award by the CHRB is the operating budget for the grant period; and is the Budget upon which any post-award budget reallocation requests must be based.

By signing the Grant Agreement, utilizing DocuSign Digital signatures, the Principal Investigator and the Grantee Institution or Organization, by and through the Institutional Official, or his or her successor, certify that they have read, and agree to comply with all of the CHRB's *Grant Guidelines and Application Instructions* and all of the CHRB's *Policies and Procedures effective July 1, 2021* and that they have read and agree to comply with all of the terms and conditions of the Grant Agreement.

Instructions for submitting proposed changes or budget reallocations to the CHRB:

1. Requests for budget reallocations must be submitted in writing by the Principal Investigator and co-signed by the appropriate Institutional Official or Organization's authorized representative, to the CHRB Administrator at least 30 days before the budget change, if authorized, is to be made.
2. The request for the proposed change(s) must be submitted in writing to the CHRB Administrator for forwarding to the CHRB Chair following a review by one of the scientific consultants.
3. A revised budget form(s) must be submitted along with the budget reallocation request so that the CHRB Chair can determine the substance of the proposed changes between the initial budget and the revised budget. An explanation must be provided as to the overall impact on the project of the reallocation request. Budget forms are available at www.chrb.org.
4. The letter of request, along with the revised budget form(s) may be sent via e-mail with an attachment of a PDF copy of the letter utilizing DocuSign Digital signatures.

Funding not spent in Year 1, for two-year grant awards, will carry over from Year 1 into Year 2 in the same budget line item as Year 1. A budget reallocation request is required for any changes from Year 1 to Year 2 if funds are requested to be carried over to a different budget line item.

Any proposed budget reallocations that request increases in salary and fringe benefits for any project participants, above and beyond what was approved in the original budget, must be funded with institutional matching funds.

Decisions regarding requests for any budget reallocation will be communicated in writing by the CHRB Chair to the Principal Investigator and the appropriate Institutional Official or Organization's authorized representative within 14 business days [excluding state holidays] of the CHRB Administrator's receipt of the written request. Decisions regarding budget reallocation requests are solely within the CHRB Chair's discretion and are final.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

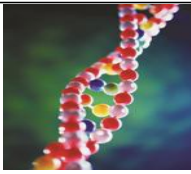
Requests for Grant Extensions

Pursuant to a compelling justification, the CHRB Chair, after consultation with the CHRB Administrator and at least one of the scientific consultants, may permit an extension, for up to 12 months to complete the project without the CHRB's providing any additional funds.

Any extension request for up to a 12-month period must be made in writing by the Principal Investigator, and co-signed by the appropriate Institutional Official, i.e. the Director of the Office of Research or Office of Sponsored Programs, or the Organization's authorized representative, and received by the CHRB Administrator at least 30 days prior to the original deadline from which the extension is requested. The request must provide justification for the extension. Extensions are not granted merely because the Principal Investigator has unexpended funds.

Decisions regarding requests for up to 12-month, no-cost grant extensions are communicated in writing by the CHRB Chair to the PI and the appropriate Institutional Official or Organization's authorized representative within 14 business days [excluding state holidays] of the CHRB Administrator's receipt of the written extension request. Decisions regarding any requests for 12-month, no-cost grant extensions are solely within the CHRB Chair's discretion and are final.

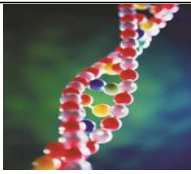
Approval of any no-cost grant extension will require an Addendum to the original grant agreement utilizing DocuSign Digital signatures by the Principal Investigator and co-signed by the appropriate Institutional Official or the Organization's authorized representative. It is assumed that the same level of effort will continue for all project participants during the no-cost extension period unless a budget reallocation or other change has been approved as part of the no-cost extension.



Substantive and Nonsubstantive Changes between the Concept Paper and Full Proposal Submissions:

The Full Proposal is expected to be scientifically based on the Concept Paper; and to provide a more detailed description of the goals, outcomes, methods and procedures. Any substantive changes from the Concept Paper to the Full Proposal will result in a CHRB decision not to review the Full Proposal. The CHRB determines whether the explanations and/or justifications for proposed changes are satisfactory and whether a proposed change constitutes an unallowable substantive change. The CHRB provides its definitions of substantive and nonsubstantive changes below.

Substantive Changes: Unallowable substantive changes between the Concept Paper and Full Proposal submission are as follows. No Changes may be made between the Concept Paper and Full Proposal regarding the:	Nonsubstantive Changes: Allowable nonsubstantive changes between the Concept Paper and Full Proposal which may be permitted, provided an explanation and justification are provided to the satisfaction of the CHRB.
<ul style="list-style-type: none">• Objectives and scope of the proposed project.• Anticipated outcomes identified in the Concept Paper.• The Principal Investigator's identity or proposed percentage of effort.• Major equipment purchases.• Requests for two years of funding in the Full Proposal if the Concept Paper only requested one year of funding.	<ul style="list-style-type: none">• Minor changes to the procedures or methods described in the Concept Paper.• Citation of new publications in the literature concerning methodology since the submission of the Concept Paper.• Minor budgetary changes, such as the cost of animals, equipment and supplies if no programmatic changes will result and additional funds for increased effort by the PI are not requested. However, the requested funds cannot exceed the \$100,000-per-year limit and the Applicant Institution or Organization is responsible for providing the 33% match to the requested CHRB funds for each year for which funds were requested.• Percentage of effort and salary requests for specific project participants if the change is for less than 5% [e.g. 35% to 30% effort] and is for research participants other than the Principal Investigator. The resulting salary increase may not cause the revised budget to exceed the amount approved by the CHRB. No change in percentage of effort or salary between the Concept Paper and Full Proposal submissions is allowable for the Principal Investigator.• Substitution of comparably-qualified persons at comparable percentage of effort and duties is acceptable if justified to the satisfaction of the CHRB; however, adding additional individuals who are not substitutes would not be allowed.



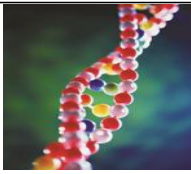
Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Principal Investigators, Co-Investigators, Collaborators, Advisors/Mentors and Consultants:

Clarification is provided below as to what constitutes a Principal Investigator [PI], Co-Investigator, a Collaborator, Advisor/Mentor and a Consultant. No member of the research team may be designated as a Co-Principal Investigator.

	Description	Can the Team Member Described in the Far Left Column be Paid for Services [from CHRB or matching funds]	Can the Team Member Described in the Far Left Column Cited in Publications	Can the Team Member Described in the Far Left Column be Employed by an eligible In-State Institution/Organization	Can the Team Member Described in the Far Left Column be Employed by an Out-of-State Institution/Organization
Principal Investigator [PI]	<p>Individual located at and employed by the Applicant Institution or Organization having overall responsibility for the research project, including the conduct of the research and its oversight, management, and evaluation.</p> <p>The PI must devote sufficient effort to the project to ensure the project can be carried out as described in the application. The CHRB will not consider PI effort of less than 10% effort for each year as sufficient to carry out the project.</p> <p>A PI may serve as a PI in one submission and as a Co-investigator, Consultant, Collaborator or Advisor/Mentor in another CHRB Project as long as the Applicant Institution or Organization agrees to permit it and the percentage of effort is reasonable given all of the other time commitments. The other time commitments must be clearly set forth in each submission.</p>	Yes	Yes	Yes	No
Co-Investigator [Co-I]/ Collaborator	<p>An individual located at and employed by the Applicant Institution assisting with the research project or an individual at a CHRB-eligible institution partnering with the Applicant Institution on the research project. Please note that the Full Proposal must include a copy of each subcontract, memorandum of understanding, or affiliation agreement for Co-Investigators and /or collaborators at CHRB-eligible institutions partnering with the Applicant Institution on the research project.</p> <p>Percent effort must be greater than 0%.</p>	Yes	Yes	Yes	No
Advisor/Mentor	<p>Provides limited advisory services and/or serves as a mentor to the PI.</p> <p>Percent effort must be greater than 0%.</p>	No	Yes	Yes	Yes
Consultant	<p>Provides a service for a fee subject to a contract, e.g. providing and/or analyzing tissue samples, raising a special colony of mice, running tests, etc. Percent effort must be greater than 0%.</p> <p>An in-state or out-of-state consultant can be paid through a subcontract, memorandum of understanding, or affiliation agreement.</p>	Yes	Yes	Yes	Yes

Any payments made in violation of the policies set forth in the above chart or explained below may result in the CHRB's decision to require the Grantee Institution or Organization and/or Principal Investigator to return, or repay, to the CHRB all or any portion of the CHRB Grant Award funds and/or may result in the CHRB's decision to prohibit the noncompliant Grantee Institution or Organization and/or Principal Investigator from applying for CHRB funding in any number of grant application review cycles following the date of discovery of the violation that the CHRB determines to be reasonable.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Undergraduate, Graduate Students enrolled in a Master or Doctoral Program, and Postdoctoral Participants

Clarification is provided below as to what constitutes participation of an Undergraduate Student, Graduate Students enrolled in a Master or Doctoral Program, and a Postdoctoral Participant in a CHRB grant funded project.

	Undergraduate Student [pre-baccalaureate]	Graduate Student enrolled in a Master or Doctoral Program	Postdoctoral Participant
Can a student participate in a CHRB grant project?	Yes , [1] during an off-semester or summer time for pay at up to 100% effort, and/or, [2] as part of a research course during the academic year at no greater than 10% effort. The research participation may be permitted as part of an undergraduate student's required research activity. An undergraduate student(s) can be listed as TBD on Attachment 1: Budget Forms and Attachment 2: Budget Rationale for the Concept Paper and Full Proposal submission; however, they must be named and expenses provided in fiscal reports if a grant award is made.	Yes , at no greater than 20% effort during the academic year and summer (since this individual is likely dedicating significant effort to dissertation research). CHRB policies reflect the expectation that dissertations are to be based on original research by the Master or Doctoral student that would be significantly different from the research conducted as a research assistant under a CHRB grant. The CHRB project, including findings and data from it, <u>can never</u> be used in the student's thesis or dissertation research. CHRB does not fund training grants, and no CHRB funds can be used to support thesis or dissertation research. A Medical Student is considered to be a Graduate Student and participation in the CHRB funded project requires approval from the Dean of the Medical School.	Yes , at up to 100% effort. A Postdoctoral Participant can participate in the CHRB grant project at up to 100% effort, must receive a salary and benefits and can be cited in research publications regarding the CHRB grant project. CHRB or Matching funds can be used to pay salaries and benefits. The Postdoctoral Participant must have obtained his/her Ph.D. prior to the July 1 st start date of the funding year in order to participate in the CHRB- funded project as a Postdoctoral Participant. For the Concept Paper submission, it is acceptable to list a TBD Postdoctoral participant; however, if the Concept Paper is selected for a Full Proposal submission, the Postdoctoral Participant must be identified and a CV provided.
Are they to receive salaries and benefits?	Yes, salaries and fringe benefits must be paid as allowed by the IRS Student exception to the FICA tax. [see below]	Yes, only as a Research Associate at no greater than 20% effort during the academic year and summer (since this individual is likely dedicating significant effort to dissertation research) and as allowed by the IRS Student exception to the FICA tax [see below].	Yes.
Can CHRB or Matching Funds be used to pay salaries and benefits?	Yes, CHRB or Matching Funds can be used to pay salaries and benefits.	Yes, CHRB or Matching Funds can be used to pay salaries and benefits that correlate with no greater than 20% effort during the academic year and summer.	Yes, CHRB or Matching Funds can be used to pay salaries and benefits.
Can they receive tuition assistance for their participation in the project?	No	No	NA
Can they receive a stipend for their participation in	No, he or she must be paid a salary and receive benefits	No, he or she must be paid a salary and receive benefits at no greater than 20% effort	No, he or she must be paid a salary and receive benefits
Can they be cited in research publications for this grant	Yes	Yes	Yes

Student Exception to FICA Tax: FICA (Social Security and Medicare) taxes do not apply to service performed by students employed by a school, college, or university where the student is pursuing a course of study. Whether the organization is a school, college, or university depends on the organization's primary function. [www.IRS.gov]

Any participation in violation of the policies explained above may result in the CHRB's decision to require the Grantee Institution or Organization and/or Principal Investigator to return, or repay, to the CHRB all or any portion of the CHRB Grant Award funds and/or may result in the CHRB's decision to prohibit the noncompliant Grantee Institution or Organization and/or Principal Investigator from applying for CHRB funding in any number of grant application review cycles following the date of discovery of the violation that the CHRB determines to be reasonable.



Commonwealth Health Research Board [CHRB] Policies and Procedures Effective July 1, 2021

Change in Academic Affiliation

During the grant review process:

If a grant applicant's academic affiliation changes to another CHRB-eligible institution at any time during the grant review process, between the time a Concept Paper is submitted, a Full Proposal is requested, and/or a presentation of the Full Proposal is made to the CHRB, the following information must be provided to the CHRB in order for the grant application to receive further consideration throughout the grant review process:

A letter must be received by the CHRB Administrator indicating this change from both the original Applicant Institution and the new Applicant Institution. The written agreement of both institutions to this change must be provided to the CHRB Administrator and is required for further consideration of the grant application in the competition.

After a grant has been awarded:

If a Principal Investigator [PI] changes his or her academic affiliation after the CHRB has awarded a grant, the Grantee Institution may request that the grant be transferred to the PI's new institution, provided that the new institution agrees to the transfer and is an eligible Virginia institution, as outlined in the CHRB *Grant Guidelines and Application Instructions*. A relinquishing statement (a written statement that the original Grantee Institution relinquishes its rights to the research and the grant funding) signed, utilizing DocuSign Digital Signatures, by an authorized Institutional Official must be sent by the original Grantee Institution to the CHRB before the grant can be transferred. A change in academic affiliation after the CHRB has awarded a grant will require a new Grant Agreement to be signed, utilizing DocuSign Digital Signatures, by the Principal Investigator and co-signed by the appropriate Institutional Official from the PI's new institution upon the CHRB's decision to permit the transfer. The transfer will take effect once the new Grant Agreement is fully executed.

Replacement of a Principal Investigator

A Grantee Institution or Organization may request a substitute Principal Investigator (PI) if the original PI retires, resigns, moves to another institution, or can no longer serve as the PI for the project. In such case, the Grantee Institution or Organization may request a substitute PI be named. The CHRB Chair, in consultation with at least one of the scientific consultants, reviews the qualifications of the proposed substitute PI.

[1] If the CHRB Chair agrees that the individual is qualified, the individual may become the PI for the remaining period of the Grant Award with the remaining budget after receiving the CHRB Chair's written decision to that effect. If the CHRB decides not to terminate the grant, the written notice containing that decision shall also set forth the CHRB's approval of the substitute PI to complete the project.

[2] If the proposed substitute PI is not acceptable to the CHRB Chair, the CHRB, in its sole discretion, may terminate the grant upon a majority vote of a quorum of its members. The CHRB's decision to terminate the grant will be communicated in writing by the CHRB Chair to the Grantee Institution or Organization and to the proposed substitute PI. In the event that the grant is terminated, any remaining CHRB funds must be returned to the CHRB immediately upon demand.

Alternatively, a Grantee Institution, upon a PI's change in academic affiliation, may request that the grant be transferred to the PI's new institution, provided that the new institution agrees to the transfer and is an eligible Virginia institution, as outlined in the CHRB *Grant Guidelines and Application Instructions*. A relinquishing statement (a written statement that the original Grantee Institution relinquishes its rights to the research and the grant funding) signed, utilizing DocuSign Digital Signatures, by an authorized Institutional Official must be sent by the original Grantee Institution to the CHRB before the grant can be transferred. If the CHRB agrees to permit the transfer, a new Grant Agreement must be signed, utilizing DocuSign Digital Signatures, by the PI and co-signed by the appropriate Institutional Official from the PI's new institution before the transfer can take effect.

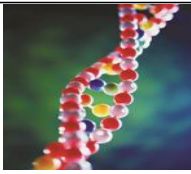
A Proposed New Grantee Institution must provide the following prior to CHRB issuing an award notice reflecting the transfer:

1. A letter to the CHRB indicating that it is willing to accept the grant, on the same terms and conditions as were made to the original Grantee Institution, prior to the transfer being made.
2. A completed executive summary cover sheet signed, utilizing DocuSign Digital Signatures, by the new Grantee Institution's authorized Institutional Official and the PI.
3. A concise project narrative addressing any proposed changes in the project that may occur as a result of the transfer.
4. A proposed budget reflecting how remaining grant funds are to be expended, including information concerning required institutional matching funds. No additional funding may be requested.
5. *Curricula vitae* for any newly proposed project team members (Co-Investigators, Collaborators/Consultants and Advisors/Mentors).

The new Grantee Institution and PI must:

1. Submit the request, including the documents listed above, to the CHRB's Administrator in writing within 30 days of notifying the CHRB of the proposed change;
2. Sign, utilizing DocuSign Digital Signatures, and return a new Grant Agreement to the CHRB to include confirmation of providing 33% matching funds; and,
3. Provide a fiscal report reflecting project-to-date CHRB grant expenditures and matching fund expenditures. Additional CHRB funds will not be provided.

The CHRB will respond to the institution within 30 days from the CHRB Administrator's receipt of the request. **Please note that the CHRB does not approve any request to transfer the grant award outside of Virginia.** All CHRB decisions regarding the replacement of a PI or the transfer of a Grant Award are solely within the CHRB's discretion and are final.



Commonwealth Health Research Board [CHRB] Policies and Procedures Effective July 1, 2021

Change in Institutional Official

If during a grant period a change in the Grantee Institution's or Grantee Organization's Institutional Official or authorized representative, is anticipated, or if a Grantee Institution or Grantee Organization withdraws his or her authority to act on its behalf, or to make legally binding agreements upon its behalf, the Grantee Institution or Grantee Organization will so advise the CHRB in writing at least five business days before the anticipated change.

If prior notice is not possible, the Grantee Institution or Grantee Organization must so advise the CHRB in writing no later than 4:00 p.m. of the business day following the change. The Grantee Institution or Grantee Organization must provide the CHRB with a new letter of authorization for the new Institutional Official and/or authorized representative and an Addendum to the original grant agreement signed by the Principal Investigator and co-signed by the appropriate Institutional Official or the Organization's authorized representative utilizing DocuSign Digital Signatures. The letter of authorization and the endorsed addendum to the original grant agreement must be provided to the CHRB no later than 4:00 p.m. of the business day following the first day the new Institutional Official, or authorized representative, serves the Grantee Institution or Grantee Organization in that capacity.

Scientific Review of Concept Paper and Full Proposal Submissions:

Concept Papers: Scientific Reviewer assignments for Concept Papers are randomized. Some Concept Papers may be reassigned to a specific Scientific Reviewer to better align the subject matter of the proposal with the expertise of the reviewer.

For a resubmission of a Concept Paper in a previous grant year, a different Scientific Reviewer will be assigned to complete the review.

Full Proposals: The Scientific Reviewer for the Concept Paper will also serve as the Primary Scientific Reviewer of the Full Proposal. A secondary Scientific Reviewer will also review the Full Proposal and provide comments to the Primary Scientific Reviewer.

Human Subjects/Animal Welfare Concerns

If the CHRB is informed that human subjects or animal welfare concerns involving or affecting the CHRB grant have been identified by the Grantee Institution or Organization, or by any concerned individual, the Grantee Institution or Organization will be notified in writing by the CHRB Administrator that the matter must receive immediate review by the Grantee Institution's or Organization's relevant review board, i.e., the Institutional Review Board (IRB) or the Animal Care and Use Committee (IACUC), in addition to such other reporting as may be required by law.

If there are proven violations of applicable federal, state, or local regulations, requirements, or standards, including any conditions of institutional IRB or IACUC approval, the grant shall be revoked in writing by the CHRB's Chair after a majority vote of a quorum of the CHRB's members approve the termination. This decision rests within the sole discretion of the CHRB and shall be final. All awarded funds must be returned to the CHRB immediately upon demand when a grant is terminated upon this basis.

PDF Copies May Be Accepted as Originals

The Grant Agreement, an Addendum to the original Grant Agreement, and an Amendment to the original Grant Agreement, if a written request or response is required by these Policies and Procedures from the Principal Investigator or Grantee Institution or Organization via an electronic PDF copy utilizing DocuSign Digital signatures, may be submitted via e-mail to the CHRB Administrator.

The electronic PDF copy utilizing DocuSign Digital signatures of the Grant Agreement, an Addendum to the original Grant Agreement, or an Amendment to the original Grant Agreement, shall have the same force and effect for all purposes as the original record and shall be as admissible in evidence as the original record whether the original record is in existence or not. The CHRB's acceptance of DocuSign Digital signatures is effective, *nunc pro tunc*, as of October 1, 2020.



Commonwealth Health Research Board [CHRB] Policies and Procedures Effective July 1, 2021

CHRB Grant Applications ~ Compliance with Federal and State Laws

CHRB funding is awarded only if such funding is permitted by all applicable federal and state laws and regulations. A Concept Paper or Full Proposal submitted to the CHRB will not receive favorable consideration by the CHRB if a grant is incompatible with CHRB's *Grant Guidelines and Application Instructions*, CHRB's *Policies and Procedures*, or any applicable federal or state law or regulation.

Project Cancellation or Termination/Revocation of Grant Award or Portion Thereof

If the Principal Investigator is unable to initiate or complete the project under the terms awarded, the Grantee Institution or Organization is required to immediately notify the CHRB in writing and to return all unexpended grant funds to the CHRB within 60 days of the CHRB's receipt of notification. Further, the Board, in its sole discretion, may cancel or terminate a grant and revoke any portion of, or all, grant funding for the project whenever the terms of the Grant Agreement, the CHRB *Grant Guidelines and Application Instructions*, and/or the CHRB *Policies and Procedures* are violated or are not met. If the CHRB cancels, terminates, or revokes any portion, or all, of the grant funding, the Principal Investigator and Grantee Institution or Organization must return the funds requested by the CHRB to the CHRB in accordance with the notice of the CHRB's decision.

Disclosure of Conflict of Interest

The Principal Investigator (PI) and other professional participants must disclose to the CHRB any conflict, or potential conflict, of interest issues that relate to the CHRB grant application to be considered for CHRB grant funding. These individuals must ensure any conflict or potential conflict of interest issues related to the CHRB grant submission have been reported to, and resolved by, the applicable review committee at the Applicant Institution or Organization. The PI must advise the CHRB in writing of the manner in which the conflict, or potential conflict, of interest was resolved.

The Applicant must disclose professional, personal or financial relations with entities (Pharma companies, industrial corporations, academic institutions, etc.) that are related to the current application if, while not included in the grant, they could nonetheless directly influence the direction of the study, could benefit from the funds, or be later publicly associated with studies funded by the CHRB.

If there are no conflicts, or potential conflicts of interest issues related to the CHRB Grant Application, then a statement to that effect should be provided.

Examples:

[1] The PI proposes to study tobacco related lung cancer and is currently funded by the tobacco industry

[2] The PI proposes to study a potential new oncological drug (not yet FDA approved) and currently also is paid by the pharma company that developed the drug to promote the drug in commercial venues

[3] A post-doc who has just left the PI's lab moved to the department of one of the Board's members and is still collaborating with the PI.

Extended Absence from the CHRB Project

Extended absence from the CHRB project, including a sabbatical, vacation of more than 14 days at one time, or leave of absence, by any of the professional staff members of the approved research team will not be approved without compelling justification provided, in advance of the absence, by the Principal Investigator to the CHRB. Anticipated extended absence from the project must be preauthorized by the CHRB's Chair or it shall constitute an unauthorized change for which the grant may be terminated by the CHRB. If the grant is terminated for this reason, all unexpended grant funds must be returned to the CHRB immediately, and the CHRB may further determine that revocation of the entire Grant Award is appropriate. If the CHRB determines that revocation of the entire Grant Award is appropriate, the PI and Grantee Institution or Organization must return the funds requested by the CHRB within 60 days of the date on the notice of the CHRB's decision. Internal approval by the Grantee Institution for an extended absence from the project is **not** sufficient and does not constitute preauthorization for the change.



Request for Feedback from Review of Concept Paper, Full Proposal or Presentation of the Full Proposal to the Board

Scientific review comments are provided to assist the Principal Investigator in his or her resubmission of grant proposals to the CHRB in a future grant application review cycle. A summary of the review comments will provide both the strengths and weaknesses of the application.

Concept Paper

The CHRB will provide a summary of the Scientific Reviewer's comments to the Principal Investigator, who submits a Concept Paper, but is not asked to submit a Full Proposal.

Full Proposal

The CHRB will provide a summary of the Scientific Reviewer's comments to the Principal Investigator who submits a Full Proposal but is not asked to make a presentation of the Full Proposal to the Board.

Presentation of the Full Proposal

The CHRB will provide Scientific Reviewer's comments of the Full Proposal review to the Principal Investigator who presents a Full Proposal to the Board but is not awarded a CHRB Grant.

The CHRB does not provide questions in advance of a Principal Investigator's oral presentation of their Full Proposal to the Board. The value of the face-to-face presentations with the Principal Investigator is to measure the scientific merit of the Full Proposal and the competence and readiness of the Principal Investigator to successfully carry out the research project.

When providing feedback to Principal Investigators per the approved policy reflected in these CHRB's Policy and Procedures, the response will not make suggestions or recommendations to the Principal Investigator regarding other funding opportunities except in general terms e.g. *There are other Virginia funding opportunities in which product commercialization and private sector collaboration are measures used in considering grant awards.*



CHRB Grant Award Scientific and Fiscal Reporting Requirements

Each Grantee Institution or Organization receiving a one-year or two-year CHRB grant award will be required to submit scientific and fiscal progress reports at specific times. Interim and final report guidelines and the required cover sheet can be found at www.chrb.org. The cover sheet shown in those guidelines must be used. The scientific report should present the actual outcomes and accomplishments and findings of the research and include a list of abstracts, posters and papers that are in preparation or have been published. Specific reporting dates are provided in the Grant Agreement.

One-Year Grant Awards:

Each Grantee Institution or Organization receiving a one-year CHRB grant award is required to submit interim scientific and fiscal progress reports at seven months [January 31st for expenses incurred through December 31st]. The final scientific and fiscal reports will be due not later than 60 days following the end of the project period.

Two-Year Grant Awards:

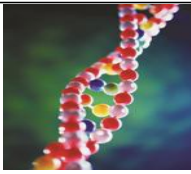
Each Grantee Institution or Organization receiving a two-year award must submit interim scientific and fiscal progress reports at nine [March 31st for expenses incurred through February 28th] and nineteen months [January 31st for expenses incurred through December 31st]. The final scientific and fiscal reports will be due not later than 60 days following the end of the project period.

Funding of the second year of a two-year award is not automatic, but is contingent upon demonstration of satisfactory progress and compliance with reporting requirements and the terms and conditions of the Grant Agreement during the first year.

Failure to submit the scientific and fiscal reports by the deadlines set forth in the Grant Agreement may result in the CHRB's termination of the Grant Award; the CHRB's determination that additional disbursements will not be made; the CHRB's demand that any unexpended funds be returned immediately; and/or the CHRB's revoking a portion, or the entirety, of the Grant Award, requiring the Grantee Institution or Organization and/or Principal Investigator to return, or repay, to the CHRB all or any portion of the CHRB Grant Award funds; whichever is appropriate given the point in the Grant Period and the specific nature of the delinquency, deficiency, or noncompliance. There will be no exceptions to this requirement absent a no-cost extension which must be approved by the CHRB Chair within 30 days prior to the original project end date.

If the Principal Investigator or Grantee Institution or Organization fails to comply with any reporting requirement, the CHRB, in its sole discretion, may also prohibit the noncompliant PI or Grantee Institution or Organization from applying for CHRB funding in any number of grant application review cycles following the date of discovery of the violation that the CHRB determines to be appropriate. If such a determination is made by a majority of a quorum of the members of the CHRB, it is communicated in writing by the CHRB Chair within 14 business days [excluding state holidays] of the date of the determination.

The CHRB's decision, based upon any reporting delinquency, deficiency, or noncompliance, to prohibit a PI or Grantee Institution or Organization from applying for CHRB funding in any grant application review cycle following the date of discovery of the violation, to terminate a Grant Award, to withhold disbursements, to demand the return of unexpended funds, and/or to revoke any portion, or the entirety, of a Grant Award, such that the Grantee Institution or Organization and/or Principal Investigator would be required to return or repay funds to the CHRB, is solely within the CHRB's discretion and shall be final and not subject to further review by the CHRB or any court. Revocation of an ongoing grant must be made by majority vote of a quorum of the CHRB members who are physically present at a CHRB meeting.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Audit Requirements and Access to Records

The Grantee Institution or Organization must provide written confirmation that the institution or organization has been audited in accordance with the terms and conditions of the grant requirements and that the funds awarded pursuant to the Grant Agreement are used according to the CHRB's *Grant Guidelines and Application Instructions*, the CHRB's *Policies and Procedures effective July 1, 2021*, and the terms of the Grant Agreement. A copy of the most recent audit, or notification that a copy of the most recent audit is available on the Auditor of Public Accounts' [APA] website, must be provided to the CHRB Administrator once completed.

The Principal Investigator (PI) and Grantee Institution or Organization must agree that the CHRB may require the Grantee Institution or Organization to immediately repay any inappropriately expended funds to the CHRB if the audit report indicates that funds were inappropriately expended, or at any time when evidence is presented to the CHRB's satisfaction that grant funds are being, or were, expended inappropriately. All audit and reporting costs are the sole responsibility of the grant recipient. CHRB grant funds and the Grantee Institution's or Organization's required match may not be used to pay for audit and/or reporting costs.

State Agencies and Institutions

Grant funds provided by the CHRB to state agencies and institutions must be audited by the Auditor of Public Accounts (APA), whether as part of the Grantee Institution's or Organization's APA audit or separately.

Nonprofit Agencies and Institutions

Grant funds provided by the CHRB to nonprofit agencies and institutions must be audited as part of the recipient organization's annual audit by a qualified external auditor or external certified public accountant.

The CHRB reserves its right to review, for verification of income, the Grantee Institution or Organization's books and records, or to require an audit of the Grantee Institution's or Organization's books and records. The CHRB also reserves the right to require the return of all funds paid if:

(a)	(b)	(c)
The PI and/or Grantee Institution or Organization fails to complete the research for any reason or,	The PI and/or Grantee Institution or Organization, without the CHRB's pre-authorization and approval, alters the research plan as approved by the CHRB, or	The CHRB determines that the CHRB's <i>Grant Guidelines and Application Instructions</i> , <i>CHRB's Policies and Procedures effective July 1, 2021</i> , or the terms and conditions of the Grant Agreement have been violated or were not met.

The PI and Grantee Institution or Organization must agree to these terms and conditions as part of the Grant Agreement and any Addendum or Amendment thereto.



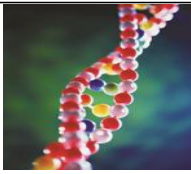
Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Licenses, Patents, Copyrights, and/or Income-Producing Inventions

The Grantee Institution or Organization and/or Principal Investigator must:

- ✓ Obtain, at its own expense, any and all patent, copyright, trade secret, proprietary information, or other intellectual property licenses necessary to use any invention, patent, article, appliance, process, or technique of whatever kind required to fully carry out the project described in the Grantee Institution's or Organization's grant application and in any subsequent amendment or change to the project approved or permitted by the CHRB.
- ✓ Pay all royalties and license fees.
- ✓ Agree to be solely responsible, where found liable, to the extent covered by insurance or specified by statute, whichever is less, for the payment of all claims for loss, personal injury, death, property damages, or otherwise arising out of any act or omission of its employees or agents, including without limitation, the infringement or other unauthorized use of any patent, copyright, license, or other form of intellectual property. The CHRB shall not accept any such liability and shall not be liable for any act or omission of any Grantee Institution or Organization or of any of the Grantee Institution's or Organization's employees or agents.
- ✓ Reimburse the CHRB for the full Grant Award amount received from the CHRB to execute the proposal. The CHRB does not require repayment of grant funds until the income (net of any direct out-of-pocket patenting costs paid by the Grantee Institution or Organization) from invention, patents or income-producing processes, exceeds \$150,000 for CHRB grants up to and including \$100,000, or exceeds \$300,000 for CHRB grants over \$100,000. When the applicable threshold is reached, the Grantee Institution or Organization and/or PI must repay to the CHRB the full CHRB Grant Award amount within 30 days of the date upon which the threshold is met.
- ✓ Report all licenses, copyrights, patents, inventions, or income-producing processes discovered or arising from research supported in whole, or in part, by the CHRB, which begin to produce income within five years after the conclusion of the Grant Period, shall be reported to the CHRB as part of the Additional Reporting Requirements. "Invention" means any discovery, material, method, process, product, program, software or use whether or not patented or patentable or copyrighted or copyrightable, that has an application of value such that its use, licensing, lease or sale generates revenue.

If the Principal Investigator or Grantee Institution or Organization fails to comply with any reporting requirement following the conclusion of the Grant Period, the CHRB, in its sole discretion, may prohibit the noncompliant PI and/or Grantee Institution or Organization from applying for CHRB funding in the grant application review cycle following the date of discovery of the violation. If such a determination is made by a majority of a quorum of the members of the CHRB, it shall be communicated in writing by the CHRB Chair within 14 business days [excluding state holidays] of the date of the CHRB's determination.

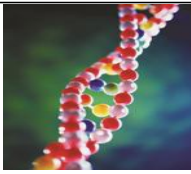


Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

CHRB Annual Evaluation Report, Additional Reporting Requirements and Acknowledgement of Support

	Reporting Requirement
Publications	<p>Each Principal Investigator and the Grantee Institution or Organization agree to submit any additional requested data and reports on a timely basis, and to participate in other evaluation efforts required by the CHRB. For example, the PI and the Grantee Institution or Organization must agree to include in all published journal articles, monographs, or other special reports based on grant-supported projects a standard footnote of acknowledgment as follows: <i>“This research was supported by grant funding from Virginia’s Commonwealth Health Research Board.”</i></p> <p>For a period of five years after the conclusion of the grant, two reprints of any publication resulting from the funded research must be sent to the CHRB as soon as they are available.</p>
Future Grant Funding	<p>For a period of five years after the conclusion of the Grant Period, the Principal Investigator and the Grantee Institution or Organization agree to notify the CHRB of future grant awards or contracts received as a result of research funded with grant funds from the Commonwealth Health Research Board.</p>
Licenses, Copyrights, Patents, Inventions or Income-Producing Processes	<p>For a period of five years after the conclusion of the Grant, the Principal Investigator and the Grantee Institution or Organization agree to report to the CHRB all licenses, copyrights, patents, inventions, or income-producing processes, discovered or arising from research funded, at least in part, by the CHRB, which begin to produce income.</p>
Evaluation Efforts	<p>For a period of five years after the conclusion of the Grant Period, as part of the CHRB’s ongoing evaluation efforts, each Principal Investigator and Grantee Institution or Organization is required to complete a CHRB Annual Evaluation Report [available at www.chrb.org] and return it to the CHRB Administrator by December 31st of each year.</p>

If the Principal Investigator or Grantee Institution or Organization fails to comply with any reporting requirement following the conclusion of the Grant Period, including any reporting requirement concerning any income-producing license, copyright, patent, invention, or income-producing process discovered or arising from research supported in whole or in part by the CHRB, or fails to provide the required acknowledgement of CHRB support in a publication, the CHRB, in its sole discretion, may prohibit the noncompliant PI and/or Grantee Institution or Organization from applying for CHRB funding in the grants cycle following the date of discovery of the violation. If such a determination is made by a majority of a quorum of the members of the CHRB, it shall be communicated in writing by the CHRB Chair to the PI and/or Grantee Institution or Organization within 14 business days [excluding state holidays] of the date of the CHRB’s determination.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Release of Concept Papers and Full Proposal Submissions

Copies of grant proposals funded by the CHRB are provided to the public upon request, in accordance with the Virginia Freedom of Information Act, §2.2-3700 *et seq.*, of the *Code of Virginia* (1950), as amended.

Pursuant to Va. Code §2.2-3705.6 (17) of the Virginia Freedom of Information Act, *Records submitted as a grant application, or accompanying a grant application, to the Commonwealth Health Research Board pursuant to Chapter 5.3 (§32.1-162.23 et seq.) of Title 32 to the extent such records contain proprietary business or research-related information produced or collected by the applicant in the conduct of or as a result of study or research on medical, rehabilitative, scientific, technical or scholarly issues, when such information has not been publicly released, published, copyrighted or patented “may be withheld from public disclosure,” if the disclosure of such information would be harmful to the competitive position of the applicant.*

The Principal Investigator (PI) and the Grantee Institution or Organization is contacted by the CHRB Administrator prior to the release of any funded CHRB grant proposals to afford the PI and the Grantee Institution or Organization an opportunity to identify any information it deems proprietary. The PI and the Grantee Institution or Organization must submit its position regarding the information it deems to be proprietary in writing to the CHRB Administrator no later than four calendar days of the date it is notified of the request for disclosure of the grant proposal. The decision regarding what, if any, information is to be withheld from disclosure pursuant to the foregoing exemption to the Virginia Freedom of Information Act rests within the sole discretion of the CHRB’s Chair.

Copies of Concept Papers and Full Proposals that do not result in a Grant Award are not released to the public unless the CHRB is required by law or a lawful Order of a court to do so.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Allowable/Unallowable Costs and Restrictions

Allowable/unallowable costs and restrictions for CHRB funding, as well as matching funds, are reflected in the chart below. Any expenses or costs paid in violation of the policies explained below may result in the CHRB's decision to require the Grantee Institution or Organization and/or Principal Investigator to return, or repay, to the CHRB all or any portion of the CHRB Grant Award funds and/or may result in the CHRB's decision to prohibit the noncompliant Grantee Institution or Organization and/or Principal Investigator from applying for CHRB funding in any number of grant application review cycles following the date of discovery of the violation that the CHRB determines to be reasonable.

Costs	CHRB Funding	Institution Matching Funds
Indirect costs /Facilities and Administrative (F&A) Costs	No. The CHRB does not award funds to cover institutional indirect costs or other costs that cover general support of educational or other organizations, including ongoing general operating expenses or existing deficits of a program.	Yes. An institution or an organization can use indirect costs as part of, or all of, its matching funds. The institution or organization must provide the most-recent, federally negotiated rate agreement which documents this amount. If the institution or organization does not have a federally negotiated rate agreement, the CHRB allows a flat rate of 20% of the requested CHRB amount for indirect costs. For example, if an Applicant Institution requests \$100,000 in CHRB funding, the required minimum match totals \$33,000. The CHRB allows a flat rate of 20% of the requested amount to be used as part of the match. In this example, the 20% allowable amount for indirect costs equals \$20,000. The remaining 13% may come from any other source which is an acceptable source for matching funds.
Salary for research performed during the school term	Yes, CHRB funds may be used to pay for services of a Principal Investigator or Co-Investigator in proportion to the percentage of effort devoted to the project. Consultants may also be paid with CHRB funds.	Yes, that percentage of the salary corresponding to a Principal Investigator's, or Co-Investigator's, percentage of effort on the project may be used as part of the match to the extent that percentage of the salary does not constitute payment for services required to be provided to any entity other than the employer pursuant to a subcontract, memorandum of understanding, or affiliation agreement. The match must come from otherwise uncommitted funds. Course releases for adjunct professors may not be used for the match.
Student Summer Housing Costs	No, students must be paid only a salary and receive fringe benefits as set forth in the CHRB's <i>Policies and Procedures</i> effective July 1, 2021.	No, subsidies for student housing may not be used as part of the required match.
Tuition	No	No
Health Insurance for graduate students	Yes	Yes
Contractual or sub contractual services, materials, and supplies, directly related to the approved research effort.	Yes, however, requests for funds for purchasing or fabricating equipment may not comprise a major portion of the total funds requested. <u>Office supplies should be paid for by the institution.</u>	Yes, however, requests for funds for purchasing or fabricating equipment may not comprise a major portion of the total funds requested. <u>Office supplies should be paid for by the institution.</u>



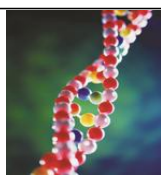
**Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021**

Costs	CHRB Funding	Institution Matching Funds
Use of equipment directly related to the approved research	<p>Yes, depending on whether the equipment is specifically needed for the proposed project and will not be for general use. Justification for the equipment must be provided and the request for funds may not comprise a major portion of the total funds requested.</p> <p>For significant equipment costs over \$10,000 per year, please identify the provider(s) and attach pertinent price lists, letters of intent or memoranda of understanding.</p>	<p>Yes, depending on whether the equipment is specifically needed for the proposed project and will not be for general use. Justification for the equipment must be provided and the request for funds may not comprise a major portion of the total funds requested.</p> <p>For significant equipment costs over \$10,000 per year, please identify the provider(s) and attach pertinent price lists, letters of intent or memoranda of understanding.</p>
Training	CHRB grants are not training grants. All proposed projects, including behavioral or nonbiomedical projects, must have a health-related research component.	CHRB grants are not training grants. All proposed projects, including behavioral or nonbiomedical projects, must have a health-related research component.
Thesis or Dissertation	CHRB funds cannot be used to support thesis or dissertation research. CHRB funds can be used to support no more than 20% effort during the academic year and summer by a graduate student enrolled in a Master or Doctoral program participating in a CHRB funded project as a Research Associate. The CHRB project, including findings and data from it, can never be used in the student's thesis or dissertation research.	Matching funds cannot be used to support thesis or dissertation research. CHRB funds can be used to support no more than 20% effort during the academic year and summer by a graduate student enrolled in a Master or Doctoral program participating in a CHRB funded project as a Research Associate. The CHRB project, including findings and data from it, can never be used in the student's thesis or dissertation research.
Lawsuits or contributions to an endowment fund or permanent fund on which an organization earns interest	No	No
Teaching services or paid Contributions the Applicant Institution or Organization is obligated to provide to another entity as a requirement of a Subcontract, Memorandum of Understanding, or affiliation agreement.	N/A	No, an Applicant Institution or Organization may not use teaching services or paid contributions it is already obligated to provide to another entity as a requirement of an existing Subcontract, Memorandum of Understanding, or affiliation agreement, as any part of its required CHRB match. In order to confirm that this policy has not been violated, the Applicant Institution or Organization must provide the CHRB with a copy of any Subcontract, Memorandum of Understanding, or affiliation agreement, with the Full Proposal.
Capital improvements or renovations	No	No
Lobbying, political or fraternal activities or legal fees.	No	No
Provision of direct services (except those provided as part of the structured research program)	No	No
Travel to professional conferences including presenting the results of the proposed research	No	No



**Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021**

Costs	CHRB Funding	Institution Matching Funds
Travel for Co-Investigators, Collaborators and Consultants to participate with the PI at the Grantee Institution.	Yes, if required for the project and justified to the satisfaction of the CHRB.	Yes, if required for the project and justified to the satisfaction of the CHRB.
Patient travel	Yes	Yes
Publication Costs	Yes, if these costs occur during the Grant Period and are included in the grant budget submitted to and subsequently approved by the CHRB as part of the grant award.	Yes, if these costs occur during the Grant Period. The Grantee Institution or Organization, however, is solely responsible for publication costs incurred after the Grant Period has ended.
Software licenses	No	No
Controlled Substance License and Registration	No	No
IRB/IACUC related costs or fees	No, Costs associated with IACUC review of animal research protocols or IRB review of human research protocols are not allowable costs under the CHRB.	No, Costs associated with IACUC review of animal research protocols or IRB review of human research protocols are not allowable costs under the CHRB. However, matching funds can be used for secretarial, janitorial, etc. expenses.
Cost of reference books	No	No



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

Definitions

Applicants are responsible for knowing, and must comply with, the CHRB's Grant Guidelines and Application Instructions, including all terms, conditions, and definitions as established by the CHRB. Applicants are responsible for knowing and complying with the CHRB's definitions.

Applicants should note that compliance with policies and/or definitions utilized by the National Institutes of Health (NIH), or other Federal or non-Federal funding entities, may not constitute compliance with CHRB's policies, procedures, guidelines, or definitions if they are different. For example, applicants must understand that CHRB's definition of "nonsubstantive changes" is not identical to NIH's definition of "allowable changes."

Administrative Review	An Administrative Review for compliance with CHRB <i>Policies and Procedures</i> and <i>Grant Guidelines and Application Instructions</i> is performed upon receipt of Concept Papers and Full Proposals. Noncompliance with these requirements will result in return of Concept Papers and Full Proposals without scientific review. See page 28 in the Grant Guidelines and Application Instructions for examples of noncompliance.
Advisor/Mentor	Individual who provides limited advisory services and/or serves as a mentor to the Principal Investigator. This individual may be from outside the Commonwealth of Virginia. This individual's services may not be paid for with CHRB or matching funds, but this individual may be cited in publications regarding the project. An Advisor/Mentor must devote greater than 0% effort to the project, must provide a CV and a letter of support.
Applicant Institution or Organization	State institution of higher education, agency of the Commonwealth, or non-profit organization which is exempt from income taxation pursuant to §501 c(3) of the Internal Revenue Code and located in the Commonwealth of Virginia that applies for CHRB grant funding through a submission filed, or a presentation given, by a Principal Investigator on its behalf.
Co-Investigator or Collaborator	Individual located and employed at the Applicant Institution or Organization who assists with the research project or an individual located at and employed by a CHRB-eligible institution or organization who partners with the Applicant Institution or Organization on the research project. This individual may not be from outside the Commonwealth of Virginia. Please note that the Full Proposal must include a copy of each subcontract, memorandum of understanding, or affiliation agreement for Co-Investigators and /or collaborators at CHRB-eligible institutions partnering with the Applicant Institution on the research project. See page 6 of this document for more details. This individual's services may be paid for with CHRB or matching funds and may be cited in publications regarding the project. A Co- Investigator or Collaborator must devote greater than 0% effort to the project.
Collaborating Institution or Organization	Institution or organization from which a Collaborator originates.
Commonwealth Health Research Board ("CHRB")	An independent body created pursuant to Virginia Code §32.1-162.23 to provide financial support in the form of grants, donations, or other assistance, for research efforts that have the potential of maximizing human health benefits for the citizens of the Commonwealth of Virginia. The CHRB awards grants through its annual three-step grant application review process.
Consultant	Individual who provides a service for a fee subject to a contract; such as providing tissue samples or running specific tests. This individual may be from outside the Commonwealth of Virginia. This individual's services may be paid for with CHRB or matching funds, and this individual may be cited in publications regarding the project. Percent effort must be greater than 0%, must provide a CV and a letter of support.
Concept Paper	Initial submission, including the narrative project proposal and all attachments, filed by an applicant, via the Applicant Institution's Office of Sponsored Programs or Office of Grants Research or Applicant Organization's authorized representative, to request CHRB grant funding. Concept Papers, excluding the cover page and scientific project summary and Attachments 1 through 6, are limited to five typewritten, double-spaced pages.



**Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021**

Full Proposal	<p>Submission, including the narrative project proposal and all attachments, filed by an applicant, via the Applicant Institution's Office of Sponsored Programs or Office of Grants Research or Applicant Organization's authorized representative, upon the request of the CHRB. The submission of the Full Proposal is the second step in the grant application review process and follows submission of the Concept Paper. No unsolicited Full Proposals may be submitted to the CHRB. Finalists, selected from among the individuals who submit a Full Proposal, are subsequently asked to make a presentation to the CHRB for final determinations regarding awards. Full Proposals, excluding the cover page and scientific project summary and Attachments 1 through 10, are limited to 12 typewritten, double-spaced pages.</p>
Masters or Doctoral Graduate Student	<p>A Graduate Student enrolled in a Master or Doctoral Program can participate in the grant project at no greater than 20% effort since this individual is likely dedicating a significant effort to dissertation research. Graduate Students must be paid salaries and fringe benefits for no greater than 20% effort. [Please see IRS Student exception to the FICA tax on page 14 of this document.] CHRB or matching funds may be used for the 20% effort. The Graduate Student can be cited in research publications regarding the CHRB grant project.</p> <p>A Graduate Student may not use his participation and/or findings or data from the CHRB funded project as a part of his/her thesis or dissertation research. CHRB-funded projects are not training grants and neither CHRB nor matching funds may be used to support dissertation research. CHRB policies reflect the expectation that dissertations are to be based on original research by the Masters or doctoral student that would be significantly different from the research conducted as a Research Assistant under a CHRB grant.</p>
Grantee Institution or Organization	<p>State institution of higher education, agency of the Commonwealth, or non-profit organization which is exempt from income taxation pursuant to §501 c (3) of the Internal Revenue Code and located in the Commonwealth of Virginia that receives a CHRB grant award.</p>
Institutional Animal Care and Use Committee ("IACUC")	<p>Committee established, pursuant to federal law, by an institution which uses any live vertebrate laboratory animals for research or instructional purposes to oversee and evaluate all aspects of that institution's animal care and use program. The committee must approve research project proposals which include vertebrate animal subjects before the research may be conducted. Pursuant to the CHRB's Grant Guidelines and Application Instructions, all such approvals must be obtained by June 15th of the first year of the Grant Period even if the project does not involve vertebrate animal subjects until Year 2 of the grant. The CHRB will not issue an award if this requirement is not met. If a grant award is made, it is the responsibility of the Principal Investigator and Grantee Institution or Organization to provide updated protocols as they are approved by the grantee institution or organization.</p>
Institutional Review Board ("IRB")	<p>Board which reviews all research protocols involving human subjects research to ensure compliance with all federal, state, and local regulations. The board must approve research project proposals which include human subjects before the research may be conducted. Pursuant to the CHRB's Grant Guidelines and Application Instructions, all such approvals must be obtained by June 15th of the first year of the Grant Period even if the project does not involve human subjects until Year 2 of the grant. The CHRB will not issue an award if this requirement is not met. The IRB must be registered with the federal Office for Human Research Protections; in addition, an institutional entity (if not the IRB) must be identified with the authority to approve exempt human subjects research. If a grant award is made, it is the responsibility of the Principal Investigator and Grantee Institution or Organization to provide updated protocols as they are approved by the grantee institution or organization.</p>
DocuSign Digital Signatures	<p>DocuSign Signatures are like electronic "fingerprints" and uses a standard, accepted format, called Public key infrastructure (PKI), to provide the highest levels of security. DocuSign Digital signature is used for securing a document and can be verified. The CHRB's acceptance of DocuSign Digital signatures is effective, <i>nunc pro tunc</i>, as of October 1, 2020. All CHRB grant-related documents can use DocuSign Digital signature including the cover page for grant submissions and grant agreements.</p>



**Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021**

Match	The CHRB requires a cash, or indirect-costs, match totaling 33% of the CHRB requested funds from the Grantee Institution or Organization as a condition of a CHRB grant award. For additional information concerning the matching funds requirements, see <i>Allowable/ Unallowable Costs and Restrictions</i> on pages 23 and 24 of the CHRB's <i>Grant Guidelines and Application Instructions</i> and pages 24, 25, and 26 of the CHRB's <i>Policies and Procedures</i> , effective July 1, 2021. Please also refer to page 13 of the <i>Policies and Procedures</i> as it relates to the use of matching funds to pay for Principal Investigators, Co-Investigators, Collaborators, Advisors/Mentors, and Consultants.
Nonprofessional Positions	Lab specialists and technical support personnel.
Nonsubstantive changes	Changes between the Concept Paper and Full Proposal submission that may be permitted, provided an explanation and justification is provided to the satisfaction of the CHRB. Examples of nonsubstantive changes are set forth on page 22 in the CHRB's <i>Grant Guidelines and Application Instructions</i> and on page 12 in the CHRB's <i>Policies and Procedures effective July 1, 2021</i> .
Percent Effort	Percent effort must be shown for each participant for each year of the Grant Period, must be greater than 0% regardless of whether the individual is to receive salary support from the Grant Award, from matching funds, or from another source, and must be shown separately for the Academic Year and the Summer for each participant who is supported differently by the CHRB, institution/organization, or other funding during those periods. Advisors/Mentors, although not salaried by CHRB or matching funds, must indicate their percentage of effort towards the project.
Postdoctoral Participant	<p>A Postdoctoral Participant can participate in the CHRB grant project at up to 100% effort, must receive a salary and benefits and can be cited in research publications regarding the CHRB grant project. The Postdoctoral Participant must have obtained their Ph.D. prior to the July 1st start date of the funding year in order to participate as a Postdoctoral Participant in the CHRB funded project. CHRB or Matching funds can be used to pay salaries and benefits. For the Concept Paper submission, it is acceptable to list a TBD Postdoctoral participant; however, if the Concept Paper is selected for a Full Proposal submission, the Postdoctoral Participant must be identified and a CV provided.</p> <p>All doctoral level positions participating in the CHRB funded project must provide a CV even if they are working as a Research Associate or a Lab Manager.</p>
Principal Investigator (PI)	Individual located at and employed by the Applicant Institution or Organization having overall responsibility for the research project, including the conduct of the research and its oversight, management, and evaluation at a minimum of 10% effort for the entire year [Academic Year and Summer] if a one-year Grant Award is made and for the entire year during each year of the Grant Period if a two-year Grant Award is made. Services for the Principal Investigator may be paid for with CHRB or matching funds. There can be only one Principal Investigator.
Professional Positions	Principal Investigators, Co-Investigators, Consultants, Collaborators or Postdoctoral participants who have obtained a professional degree e.g. M.D. or equivalent, Ph.D., D.V.M., D.O.
Research Assistant	Individual who assists in academic research, is not independent and not directly responsible for the outcome of the research, and is responsible to the PI. Also, this person may be listed as a Graduate Research Assistant, Laboratory Technician, or Technical Support Personnel. The Research Assistant must be paid a salary and fringe benefits. A Research Assistant cannot be a Pre-Master or Pre-Doctoral Graduate Student involved in the project at greater than 20% effort. Other synonymous titles include: Research Technician. NO CV is required.
Research Associate	Individual who usually conducts research under the supervision of a PI and often has a graduate degree such as a master's or doctoral degree. A CV is required.
Substantive Changes	Changes between the Concept Paper and Full Proposal submission that are unallowable. Examples of substantive changes are set forth on page 20 in the CHRB's Grant Guidelines and Application Instructions and on page 12 in the CHRB's <i>Policies and Procedures effective July 1, 2021</i> .
Undergraduate Student	An undergraduate student can participate in the grant project during off- semester or summer time, or as part of a research course during the academic year. The undergraduate student must be paid a salary and fringe benefits equivalent to those paid to other similar research assistants. [Please see IRS Student exception to the FICA tax on page 14 of this document.] CHRB or matching funds may be used. The research participation may be permitted as part of an undergraduate student's required research activity and an undergraduate student can be cited in research publications regarding the CHRB grant project. An undergraduate student(s) can be listed as TBD on Attachment 1: Budget Forms and Attachment 2: Budget Rationale for the Concept Paper and Full Proposal submission; however, they must be named and expenses provided in fiscal reports if a grant award is made.



Commonwealth Health Research Board [CHRB]
Policies and Procedures Effective July 1, 2021

CHRB Contact Information

Direct all notices, correspondence and/or change of contact information to the Board as follows:



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