

<b>Name of Policy:</b> <a href="#">Principal investigator's responsibilities on sponsored projects</a>			
<b>Policy Number:</b> 3364-70-22			
<b>Approving Officer:</b> President		<b>Revision date:</b> October 19, 2020	
<b>Responsible Agent:</b> Vice President for Research		<b>Original effective date:</b> May 28, 2009	
<b>Scope:</b> All University of Toledo Campuses			
<input type="checkbox"/>	New policy proposal	<input checked="" type="checkbox"/>	Minor/technical revision of existing policy
<input type="checkbox"/>	Major revision of existing policy	<input type="checkbox"/>	Reaffirmation of existing policy

(A) Policy statement

The process of managing sponsored research awards is a shared responsibility between the principal investigator (“PI”), the staff of the Office of Research and Sponsored Programs (“RSP”), Grants Accounting, the PI’s department head or chair, and dean of the respective college. Each has unique areas of primary responsibility. The University of Toledo (UToledo) recognizes that the principal investigator, referred to as PI in this policy, is the primary individual responsible for initiating a research grant proposal, cooperative agreement, training or public service project, contract or other sponsored project. RSP is responsible for approving spons vq ninininini

Costs policy. Such activities include: Sponsored Instruction and Training, Organized Research and Other Sponsored Activities.

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- (a) The agreement obligates the Principal Investigator/Program Director to sponsored activity that follows a plan or work scope set forth in the proposal, protocol, or agreement, provides for systematic evaluation, or seeks to meet stated performance goals, or other activities to meet the obligations of the sponsored activity (i.e. training grants);
- (b) There is a requirement for UToledo to provide technical or programmatic reports;
- (c) There is a requirement for UToledo to provide financial accountability, as evidenced by the submission of financial reports to the sponsor, an audit provision, or for return of unexpended funds;
- (d) There is a requirement that something of value be provided to the sponsor or that the sponsor is promised any rights, or option thereto, to intellectual property discovered/developed during the program;
- (e) There is a requirement for an institutional commitment to maintain confidentiality of information provided by the sponsor;
- (f) There is a requirement for UToledo to define and/or track personnel effort devoted to the program;
- (g) There is a requirement for UToledo to cost-share any portion of the program costs;
- (h) There is a requirement that a portion of the program be subcontracted to another entity; or
- (i) There is a requirement for assurance of regulatory compliance (e.g., IRB or IACUC protocol approval).

(2) Gifts for Research and Involvement of UToledo Foundation

Some awarding agencies may restrict their funding to a 501(C)(3) organization. In those cases, The University of Toledo Foundation will assist in preparation, submission and acceptance of those awards. Financial awards or requests to philanthropic foundations and other entities for gifts to support faculty research will be subject to formal endorsement by appropriate UToledo officials, including RSP and the UToledo Foundation if a 501(C)(3) organization is required to accept the award. Any gift supporting research programs which include human subjects, clinical trials, vertebrate animals, radioisotopes, radiation-generating equipment, lasers, nanotechnology or hazardous materials, must have approved protocols through the appropriate review committees. The RSP office must review and approve all such projects before proposals are submitted on behalf of the UToledo Foundation. Upon



- (3) Research assistant professors, research associate professors, research professors, and post-doctoral fellows (with a letter of approval from their department chair) are entitled to submit proposals as PI or co-PI for the support of research that may include the faculty member's own salary.
  - (4) JAs at UToledo are entitled to submit proposals and receive awards as PI/Co-PI/PD or key personnel for sponsored research through UToledo under the specific conditions as described herein. A JA may act in his/her university role and lead/participate in a proposal submitted by UToledo when all of the following conditions are present:
    - (a) The primary location for the work described in the proposal is UToledo;
    - (b) There is a sufficient basis for the proposal to be submitted by UToledo, including the need for university facilities, capabilities, expertise, field site proximity to the university or ongoing experiments;
    - (c) The JA (and associated students) will perform the work under the proposal at UToledo;
    - (d) The research budget includes partial salary support for the JA in their role as lead/participant in the sponsored research; and
    - (e) The JA must have assigned office and/or laboratory space at UToledo to perform work associated with their effort, as outlined in the proposal. Any alternative work place must be approved by both the JA's primary employer (i.e. a U.S. national laboratory or other institution) and the university's RSP, including space including space in any dedicated collaborative facilities, such as a U.S. government laboratory Joint Institute Facility
- (F) Multiple Principal/Co-Investigators  
It is strongly recommended that a leadership plan is created for proposals that name multiple investigators.
- (1) In the event that the PIs cannot resolve conflicts over an administrative issue, the issue will be presented to the Vice President for Research or his/her designee who

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- (ii) Prepare proposal budget from PI's draft in conformance with UToledo policies and sponsor requirements.
- (iii) Provide information and assistance in completing administrative information.
- (iv) Commit RSP cost sharing funds if appropriate and approved by the Vice President for Research.
- (v) Determine if PIs' are in compliance with conflict of interest requirements.
- (vi) Provide institutional signature and submit/release completed proposal to sponsor.

(2) Award acceptance

Grants or agreements for research, including clinical trials or any other programs involving UToledo faculty must be made between The University of Toledo and the sponsor pursuant to UToledo Policy Number 3364-40-08 Delegation of Signatory Authority for Documents that Bind the University. The Vice President for Research is designated as the signing authority for accepting and approving all sponsored program awards on behalf of the University. Investigators are not authorized to accept awards or funds on their own behalf or on behalf of UToledo.

- (a) All contracts/agreements issued to UToledo by a funding sponsor, including those which involve a contract or a subcontract to another institution or other organization must be reviewed, negotiated and signed by RSP pursuant to UToledo Policy Number 3364-70-23 Facilities and Administrative (F&A) Costs for Sponsored Research and Programs.
- (b) If the award is utilizing an outside consultant, the consultant agreement must follow The University of Toledo Human Resource Policy, 3364-25-44 Independent contractor status.
- (c) All procurement of goods, equipment or outside purchased services must follow UToledo 3364-40-15 Procurement Policy, which includes compliance with Uniform Guidance procurement requirements for sponsored programs.
- (d) Clinical Trial Agreements must be negotiated by staff in the Jacobsen Center for Clinical and Translational Research (JCCTR).
- (e) All awards must be set up in UToledo restricted, sponsored program accounts monitored by UToledo Grants Accounting.

(3) Project performance and management

The University and PI is legally and financially responsible and accountable to



- (h) The PI ensures the responsible conduct of the research pursuant to UToledo Policy Number 3364-70-02 Responsible conduct of scholarship and research. This includes data management as required by sponsoring agencies, publishers, and as consistent with practices within the discipline.
- (i) The PI ensures the completion, accuracy and timeliness of interim and final programmatic (technical) reports.
- (j) Subcontract document(s) must be prepared and approved by the RSP office. The PI monitors performance of subcontractors and collaborators at non-UToledo entities.
- (k) The PI agrees to abide by current UToledo policies on the use of human subjects/vertebrate animals in research, recombinant DNA, infectious agents, radioactive materials, controlled substances and hazardous materials. The PI adheres to research subject protocols and policies, and notifies the appropriate office if changes are made to protocols.
- (l) The PI is responsible for the initial and annual filings of financial disclosures for all participants on the project as defined in Code of Federal Regulations (CFR) Title 42 Part 50, Subpart F. The PI is responsible for notification to RSP (coi.utoledo.edu) on tMs3 (btMs3 (s)-5 (ear)-11 (r)-1 (TD[not]-2 (i)-2 (

<p>Approved by:</p> <p><u>/s/</u> Gregory C. Postel, M.D. Interim President</p> <p><u>October 19, 2020</u></p> <p><i>Review/Revision Completed by:</i> Vice President for Research <i>SLT, Research Council</i></p>	<p><b>Policies Superseded by This Policy:</b> <i>3364-70-00 effective April 1, 2011</i></p> <p>Initial effective date: May 28, 2009</p> <p>Review/Revision Date: November, 2018, January 3, 2019, October 19, 2020</p> <p><b>Next review date: October 19, 2023</b></p>
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