



**UNIVERSITY OF  
SOUTH FLORIDA**

# **USF Research Roles and Responsibilities**

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**USF Research Roles and Responsibilities  
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<b>USF Research Roles and Responsibilities</b>	
<b>Principal Investigator (PI)</b>	
<b>General</b>	
Is the primary individual in charge of and accountable for activities on a research project or activity, particularly those funded by a grant, a cooperative agreement, a training or public service project, a contract, or other sponsored mechanism.	
Normally reports to a Unit Head (or other designated official).	
Takes part in, and ensures that his or her staff takes part in, required and voluntary education and training programs offered by the University, professional organizations, and regulatory agencies in order to be thoroughly knowledgeable about the conduct of research.	
<b>Proposal Preparation &amp; Submission</b>	
Contact the Division of Sponsored Research at the beginning stage of proposal preparation for assistance in adhering to guidelines, policies, and deadlines.	
Submit the completed proposal and the Internal Form to the Unit Head, Dean, and Division of Sponsored Research for review and approval before submission to the agency/sponsor.	
Submit proposal to meet internal and external deadlines.	
Ensure that the proposal meets the requirements outlined in the Request for Applications, Request for Proposals, or other application instructions (e.g., dollar limits, page limitations, font type and size, deadlines, and mailing addresses).	
<b>Technical Proposal</b>	
Prepare the proposal and possibly collaborate with others in its preparation.	
Identify the need for subcontracts.	
Identify the need for space and facilities.	

<b>USF Research Roles and Responsibilities</b>	
<b>Principal Investigator (PI)</b>	
<b>Proposal Budget</b>	
Prepare or directly supervise the preparation of the categorized budget and its justification. The Division of Sponsored Research will provide budgetary assistance, when requested, and will review the final budget before approving and submitting the proposal.	
Apply the correct indirect cost rate and base.	
Develop a financial plan to meet cost-sharing commitments and manage the project to assure that those commitments are met. Request cost share (matching funds or identifying in-kind contributions, if required).	
Identify all available financial resources in direct support of this or other research endeavors (other support).	
Identify anticipated program income.	
<b>Proposal Regulatory Requirements</b>	
Participate in the awareness and certification programs required by the University.	
Fully disclose to the Unit Head financial interests that would reasonably appear to be directly or significantly affect the sponsored project and provide updates of such interests on an annual basis.	
Prepare the appropriate forms and applications to applicable review boards/committees, if the proposal involves any of the following: • Human subjects • Live animals as subjects • Recombinant DNA/RNA, infectious agents, narcotics/controlled substances, or biological toxins • Human blood or body fluids • Radioactive materials and/or ionizing or non-ionizing radiation-producing equipment • Hazardous materials • Scuba activities	
Obtain additional approvals, for example, those by affiliated institutions or collaborating departments and colleges, when required.	

<b>USF Research Roles and Responsibilities</b>	
<b>Principal Investigator (PI)</b>	
<b>Internal Form</b>	
Prepare, or directly supervise the preparation of the Internal Form.	
Provide information as to whether other departments or colleges are involved and ensure that the relevant offices are included in the approval routing chain.	
Certify, through her/his signature on the Internal Form, that the form is filled-out completely and accurately, including other contacts.	
Ensure that the Internal Form and proposal are authorized and routed appropriately and submitted to Sponsored Research after obtaining all approvals.	
<b>Negotiations with Sponsor</b>	
Modify the project scope as needed to accommodate the sponsor.	
Modify, in collaboration with Sponsored Research, the project budget in line with the award budget provided by the sponsor.	
Notify the Unit Head about changes in project scope and budget.	
Notify Sponsored Research and the Research Integrity & Compliance if changes to project scope will affect approved protocols.	
<b>Acceptance of the Award</b>	
Provide Sponsored Research with the original notice of a grant award or contract to initiate review and negotiation, if award is received directly.	
Obtain approval from the Unit Head and/or College Dean to request that Sponsored Research underwrite the project if it is necessary to initiate work on the project before the award is received.	

## USF Research Roles and Responsibilities

### Principal Investigator (PI)

Repay underwrites, in conjunction with pre-arrangements made with the Unit Head and College Dean, should the award not be made.

### Conduct of the Project

Although some tasks may be delegated, the Principal Investigator is the accountable officer and bears responsibility for the overall scientific, fiscal, and administrative conduct of the project, for meeting the terms and conditions of the award, and for representing the project to the sponsor.

Individual faculty, as Principal Investigators, research directors, and mentors, encourage students and other research personnel to participate in educational programs on the responsible conduct of research.

Appropriate management of the scientific and programmatic aspects of the project.

Notify Sponsored Research with a contact person's name when planning to be absent from the project for more than 30 days.

Initiate the personnel hiring or assignment process and approve the selection or appointment of individuals to the project, in collaboration with Human Resources and Equal Opportunity Affairs and in accordance with State law and USF policies and procedures.

Ensure the integrity and protection of notebooks and scientific data.

Ensure the completion, accuracy, and timeliness of programmatic (technical) reports to the sponsoring agency.

Ensure that Sponsored Research receives a copy of the letter of transmittal of any non financial reports or correspondence with the sponsoring agency. (Financial reports should NOT be provided by Principal Investigators).

Ensure continuation proposals, if any, are submitted on time.

Notify Sponsored Research of the need for subcontracts; approve such after preparation Sponsored Research

Ensure that subcontractors have complied with the appropriate programmatic work in a timely manner and in accordance with technical and financial terms and conditions of the award.

<b>USF Research Roles and Responsibilities</b>
<b>Principal Investigator (PI)</b>
<b>Material Transfer Agreements</b>
If using biological materials from another source, the Principal Investigator initiates a Material Transfer Agreement (MTA), which will be prepared by Patents & Licensing. MTAs that are received by the Principal Investigators should be sent directly to Patents & Licensing for review, negotiation, and final execution with the sponsor.
<b>Budget Management</b>
The Principal Investigator is responsible and accountable for managing the budget on his or her grant or contract. The role of the Principal Investigator as primary Accountable Officer cannot be delegated.
Manage expenditures and activity in accordance with the approved budget and sponsor identified regulations and policies related to budgetary and fiscal matters.
Initiate purchases, determine the allowability and reasonableness of all expenditures, approve purchases, and provide justification for transactions in the use of the State of Florida PCard and/or submission of purchase requisitions to USF Purchasing.
Obtain additional sponsor approval for expenditures, when required.
Provide required documentation for travel reimbursement and confirm the appropriateness and allowability of the travel.
Initiate the process of documenting cost sharing and/or matching.
Initiate requests for rebudgeting per sponsor requirements and work with Sponsored Research to review the award document to determine if prior approval by the sponsor is required.
Initiate expenditure transfers and correcting entries in a timely manner to ensure correction within 90 days; manage the project to minimize the need for such transactions.
Identify and resolve unallowable charges including over-expenditures within 30 days of project end date.
Approve payments of subcontractor invoices.

## USF Research Roles and Responsibilities

### Principal Investigator (PI)

Review monthly financial reports and ledgers to monitor encumbrances and expenditures, and initiate budget transfer requests as appropriate.

Notify Sponsored Research of the need to initiate a no-cost extension in advance of financial report submission in accordance with University and sponsoring agency requirements.

Collaborate with Sponsored Research and/or the USF Research Foundation, as appropriate, before the end of the budget period, to handle remaining balances and/or adjustments.

### Program Income

Identify all planned program income within the project.

Initiate the processes including project set up and propose the allocation of program income.

Monitor receipt of program income.

Review program income reported to the sponsor by Sponsored Research and/or USF Research Foundation, as appropriate.

### Effort Reporting and Certification

Comply with USF effort-reporting policies.

Comply with policies for reporting outside activities.

<b>USF Research Roles and Responsibilities</b>	
<b>Principal Investigator (PI)</b>	
<b>Change in Principal Investigator</b>	
Notify the Unit Head and Sponsored Research of the proposed change to initiate the required correspondence in accordance with Sponsored Research procedures.	
<b>Change in Host Institution</b>	
Notify Sponsored Research of any impending transfer of a grant or contract to another institution; Sponsored Research will assist with the transfer in accordance with sponsor requirements.	
Coordinate with Sponsored Research to complete transition financial reports, equipment, etc.	
<b>Intellectual Property</b>	
Adhere to the principles and policies outlined in the UFF Collective Bargaining Agreement and the Inventions and Works Policy.	
Adhere to the principles and policies outlined in the UFF Collective Bargaining Agreement and the Conflict of Interest Policy (USF Policy 0-309).	
Initiate the disclosure process by completing the Invention Disclosure Form and submit it directly and in a timely fashion to Patents & Licensing.	
Update Patents & Licensing with regard to progress and/or developments of disclosed information, including the status of publishing.	
Provide copies of relevant publications to Patents & Licensing.	
Assist Patents & Licensing in preparing patent applications, including the provision of prior art publications.	
Initiate the processing of copyrights by completing the Copyrightable Works Disclosure Form in order to notify Patents & Licensing.	

<b>USF Research Roles and Responsibilities</b>	
<b>Principal Investigator (PI)</b>	
Assist Patents & Licensing in processing licensing agreements.	
<b>Project Closure</b>	
Prepare the final programmatic (technical) narrative report and adhere to sponsor deadlines.	
Review and approve the final financial report provided by Sponsored Research and/or the USF Research Foundation, as appropriate.	
Provide information on other closing reports, such as for patents and equipment, as required by the sponsor.	
Retain the scientific data garnered from the research project.	
<b>Regulatory Compliance</b>	
Prepare a Financial Relationships Disclosure Form (FRDF) and submit it to the responsible Unit Head, if the Principal Investigator has a significant financial interest or other interest related to the project.	
Adhere to certification requirements for research involving human and animal subjects.	
Adhere to the terms of the research agreement, the protocols, and policies and notify the appropriate office if changes are needed.	
Meet continuing protocol review requirements and assist with inspections.	
Adhere to chemical, biological, physical, and radiation safety requirements, and notify Research Integrity & Compliance if accidents occur.	
Adhere to the policies and procedures for using legend and investigational new drugs for clinical research.	

## USF Research Roles and Responsibilities

### Co-Principal Investigator (Co-PI)

#### General

In some cases, particularly with multi-site projects, more than one individual is responsible for administrative, fiscal, and scientific conduct of the project. Each person can be named in the proposal and on project documentation as a Co-Principal Investigator, provided the sponsor accepts this role (note that not all sponsors allow Co-Principal Investigators to be named on projects). These individuals must all sign the Internal Form. By approving and signing the Internal Form, the College/Unit also recognizes the standing of the Co-principal Investigators.

If the project is awarded, Co-Principal Investigators have spending authority on the award and have the responsibility to fulfill the obligations listed in the section on "Principal Investigators."

Please note: Although the project may have several Co-Principal Investigators, one person must be designated as the project leader. This person bears overall scientific, fiscal and administrative responsibility for conducting the project, for meeting the terms and conditions of the award, and for representing the project to the sponsor. This person will be listed first on the proposal and will be listed on the Internal Form as the Principal Investigator.

## USF Research Roles and Responsibilities

### Co-Investigator

#### General

In some cases, several individuals conduct the scientific portion of the project. One of these Investigators is also given fiscal and administrative responsibility over the project. This individual is designated as the Principal Investigator while the other Investigators will be considered as Co-Investigators, provided the sponsor accepts the role of Co-Investigator.

If Co-Investigators are named in the proposal, they are responsible for signing the Internal Form in addition to the Principal Investigator. If the project is awarded, Co-Investigators do not have spending authority on the award unless the Principal Investigator delegates such authority in writing. This delegation of authority must specify the exact rights being delegated, e.g., hiring, ordering items listed in the budget, making changes to the budget. The Financial Transaction Authorization Form, used for this purpose, is filed in accordance with USF procedures. Specific instructions not implicit on the Financial Transaction Authorization Form should be documented and retained in departmental files with copies to Sponsored Research.

Although some tasks may be delegated, the Principal Investigator continues to bear responsibility for the overall scientific, fiscal, and administrative conduct of the project, for meeting the terms and conditions of the award, and for representing the project to the sponsor. (Please reference the section on the Principal Investigator responsibilities for additional details.)

<b>USF Research Roles and Responsibilities</b>	
<b>Administrative Staff</b>	
<b>General</b>	
Administrative Staff at the Unit and Dean's Office levels often provide administrative support for one or more sponsored projects. Included in the Administrative Staff category is a wide variety of duties and position titles.	
With respect to the financial management of sponsored accounts, Administrative Staff are responsible for certain delegated financial functions and are authorized by the Accountable Officer (Principal Investigator). This delegation of responsibility is normally named at the college level and designated officially when the Financial Transaction Authorization Forms are completed for new grant or contract accounts.	
Certain financial controls are in place, which require that the units have segregated persons responsible for transaction authority.	
Administrative Staff report directly to their supervisor(s) in the department (e.g., Unit Head, Unit Administrator, Principal Investigator, etc.).	
<b>Proposal Preparation &amp; Submission</b>	
Assist with the preparation of a grant proposal to meet Sponsored Research proposal submission deadlines.	
<b>Technical Proposal</b>	
Proofread and edit the technical proposal, as necessary.	

<b>USF Research Roles and Responsibilities</b>	
<b>Administrative Staff</b>	
<b>Proposal Budget</b>	
Prepare documents and provide information for the categorized budget and justification, and may participate in preparing the actual proposal budget.	
Assist the Principal Investigator in acquiring approvals for cost share, matching and in-kind funds.	
Maintain databases and files of grant/contract support for each Principal Investigator in the unit (or other support information).	
<b>Negotiations with Sponsor</b>	
Assist the Principal Investigator and the Sponsored Research, as needed, in negotiations with sponsors on project scope and budget. (Sponsored Research actually does the negotiating.)	
<b>Conduct of the Project</b>	
Assist the Principal Investigator with the appropriate administration of the project by serving as a knowledgeable resource for the Principal Investigator in the interpretation and application of rules, policies, and procedures.	
<b>Budget Management</b>	
Attend education and training programs to become knowledgeable about USF and Sponsor policies and procedures for appropriate budget management.	
Provide monthly financial reports to Principal Investigators and assist in monitoring encumbrances and expenditures.	
Gather information on the conduct of subcontracts and notify Sponsored Research of their progress and of any problems that may have arisen.	
Coordinate recruitment efforts and personnel appointments of individuals hired for the project.	

## USF Research Roles and Responsibilities

### Administrative Staff

Expedite the documentation of cost sharing and/or matching/in-kind. (Project budgets will not be established in FAST without cost share sources.)

Prepare documents and provide information to Sponsored Research for rebudgeting, as appropriate.

Provide information to Sponsored Research to resolve over-expenditures. .

Provide information to Sponsored Research for the financial reports (i.e. pending items).

Prepare documents for submission to Sponsored Research to initiate expenditure transfers.

Prepare documents and providing information for internal and external purchasing.

Obtain approval from Sponsored Research for certain expenditures when required.

Process receipt of goods according to USF policy and Florida Statute for prompt vendor payment (within five days of receipt of goods and services).

### Program Income

Prepare and process documents and provide information for recording program income.

Verify receipt of program income.

### Effort Reporting and Certification

Prepare effort reports using the Personnel Effort Reporting Tool (PERT) and obtain appropriate certifications.

**USF Research Roles and Responsibilities****Administrative Staff****Project Closure**

Provide information to Sponsored Research, if needed, for the final financial report.

<b>USF Research Roles and Responsibilities</b>	
<b>Unit Head</b>	
<b>General</b>	
A Unit Head is an academic leader with programmatic, managerial, and fiscal responsibilities for a designated area, such as a department, division, school, or center.	
The Unit Head normally reports to a Dean, except in the instances of a Center or Institute that reports to the Provost & Academic Vice President or Vice President for Health Sciences.	
Provide adequate staff and infrastructure for the appropriate conduct of research.	
Ensure that faculty and staff have the opportunity to obtain a thorough understanding of the policies and procedures for the proper management of contract and grant proposals, awards, and reporting.	
<b>Proposal Preparation &amp; Submission</b>	
Review the proposal for the following elements and either provide approval by signing the Internal Form or returning it to the Principal Investigator for resolution of issues: <ul style="list-style-type: none"> <li>• The applicant is eligible to be a Principal Investigator.</li> <li>• The Principal Investigator is eligible to conduct the project.</li> <li>• The Principal Investigator can manage the project effectively.</li> <li>• The required review of applications involving human or animal subjects, conflict of interest, patents or copyrights, subcontracts, use of space, matching commitments, and other variables affecting the university's commitment to the research are denoted.</li> <li>• The commitments on behalf of the unit are appropriate.</li> </ul>	
Facilitate proposal preparation in a timely manner in order to meet Sponsored Research deadlines.	
<b>Proposal Budget</b>	
Review the proposal for the following elements and either provide approval (by signing the Internal Form) or returning it for issue resolution: <ul style="list-style-type: none"> <li>• The budget is adequate relative to the project scope and its justification is appropriate.</li> <li>• Cost sharing through contributed effort is appropriate.</li> <li>• Matching dollars are available and documented.</li> <li>• Support from other sources is appropriate, documented, and fully disclosed.</li> </ul>	
Review any indirect cost rate reduction or waiver requests.	

<b>USF Research Roles and Responsibilities</b>	
<b>Unit Head</b>	
<b>Proposal Regulatory Requirements</b>	
Participate in awareness and certification programs which address research administration.	
Designate appropriate Administrative Staff to assist with research projects.	
Ensure faculty and staff are provided opportunities to attend voluntary and mandatory educational and certification programs.	
Oversee the use of human subjects in research, and establish and maintain the Scientific Review Committee in the unit to ensure appropriate review of proposals for the use of human subjects.	
Oversee significant conflict of interest matters and review the Financial Relationship Disclosure Form (FRDC) submitted by unit researchers. [If a potential conflict of interest is reported by a researcher, the Unit Head will refer the disclosure materials to the Director of Sponsored Research who, in turn, will refer them to the Conflict of Interest in Research Committee (CoIRC) (see USF Policy 0-309).]	
<b>Internal Form</b>	
Verify eligibility of the Principal Investigator and appropriateness of the proposed project.	
Review the Internal Form for completeness and accuracy and either approve the document or return it for issue resolution.	
<b>The Award</b>	
Review requests for underwriting and either approve the request or return it for issue resolution.	
Identify a non-sponsored account from which expenditures will be paid if the award is not received.	

<b>USF Research Roles and Responsibilities</b>	
<b>Unit Head</b>	
<b>Conduct of the Project</b>	
Ensure the appropriate management of the University, state, and federal policies and regulations at the departmental level (e.g., laboratory safety, use of human subjects, fiscal responsibility and accountability).	
Ensure that faculty and staff have received training in the proper conduct of research.	
Delegate authority for sponsored project management tasks to Administrative Staff who are appropriately trained on University procedures.	
Manage general departmental/unit-level support activities related to grants management.	
Approve any proposed programmatic changes.	
<b>Budget Management</b>	
Provide staff to assist in monitoring the project budget.	
Assist with the resolution of over-expenditures, if the Principal Investigator is unable to resolve them.	
Review rebudgeting requests if they affect commitments by the unit/department.	
Notify the Dean in cases where proposed or required rebudgeting will have an impact on resources in the unit or Dean's Office.	
Evaluate and approve expenditure transfer requests.	

<b>USF Research Roles and Responsibilities</b>	
<b>Unit Head</b>	
<b>Program Income</b>	
Identify all planned program income resulting from the project.	
Initiate the processes and propose the allocation of program income.	
Monitor receipt of program income.	
Review program income reported to the sponsor by Sponsored Research and/or USF Research Foundation, as appropriate.	
<b>Effort Reporting and Certification</b>	
Review and certify Personnel Effort Reporting Tool (PERT) reports for the Principal Investigator's activities.	
Comply with policies for reporting outside activities.	
<b>Project Closure</b>	
In conjunction with Sponsored Research, assist the Principal Investigator in resolving budgetary issues.	
Ensure that the department/unit has a records retention schedule in place that aligns with the central administrative offices to protect the integrity of the grant records and data collected during the project.	

**USF Research Roles and Responsibilities****Unit Head****Regulatory Compliance**

Ensure unit/departmental compliance with regulations pertaining to: • Human subjects. • Live animals as subjects. • Human blood or body fluids. • Radioactive materials and/or ionizing or non-ionizing radiation producing equipment. • Recombinant DNA, infectious agents, narcotics/controlled substances, or biological toxins.

Refer the Financial Relationship Disclosure Form (FRDC) to the Director of Sponsored Research for referral to the Conflict of Interest in Research Committee (CoIRC), if a unit researcher reports a conflict of interest (USF Policy 0-309).

## USF Research Roles and Responsibilities

### Dean's Office

#### General

Deans are academic leaders with programmatic, managerial, and fiscal responsibilities for a college or school, and report either to the Provost & Academic Vice President or to the Vice President for Health Sciences.

The Dean's Office, which is the administrative center for a school or college, may include one or more Associate Deans who report to the Dean, as well as Dean's Office Administrative Staff. One Associate Dean (usually referred to as the Associate Dean for Research) has the responsibility of overseeing research activities in the various units that make up the college and, thus, is delegated the authority to act on the Dean's behalf in matters relating to research.

The Dean's Office is responsible for ensuring that faculty and staff has a thorough knowledge and understanding of the policies and procedures for the proper management of contract and grant proposals, awards, and reporting.

In the lists that follow, reference to "the Dean" may imply the Associate Dean for Research or whichever administrator within the college or school has been delegated the responsibility to assist with the management of research activities within that college or school.

#### Proposal Preparation & Submission

Review the proposal in a timely manner and with regard to the following criteria and indicate approval of the proposal by signing the Proposal Review and Certification form ("Internal Form") or return it to the Unit Head or Principal Investigator for issue resolution. By signing, the Dean certifies that:

- The applicant is eligible to be a Principal Investigator according to College and University regulations.
- The Principal Investigator is academically eligible to conduct the project.
- The Principal Investigator can manage the project effectively.
- The project is aligned with College and University objectives.
- The Dean is aware of matching and cost-sharing commitments.
- The Dean is aware of collaborative efforts across departments and colleges.
- All regulatory matters (conflict of interest, use of human or animal subjects, biohazards, etc.) are accounted for and managed appropriately.

#### Proposal Budget

Approve the following:

- Requests to be made to Sponsored Research to reduce indirect cost rates.
- Requests to the Dean's Office to provide the matching funds.
- Requests to the Dean's Office to provide additional resources and space to support the research.

Oversee matching funds or other support from sources outside the school or college.

Oversee cost-sharing and matching commitments.

<b>USF Research Roles and Responsibilities</b>	
<b>Dean's Office</b>	
<b>Internal Form</b>	
Review the Internal Form and the proposal to ensure that the project is in line with eligibility requirements and the mission of the college.	
Review the Internal form and proposal with an eye to any potential issues (e.g., conflict of interest, patents, etc.).	
Review and confirm commitments by the college.	
Approve the Internal Form and, thus, the proposal or return the documents for issue resolution.	
<b>Conduct of the Project</b>	
Ensure that faculty and staff have received training in the proper conduct of research, including management and financial principles.	
Manage conflict of interest issues as the Designated University Official per USF Policy 0-309, if the Dean is the immediate supervisor of the Principal Investigator.	
Review and approve Report of Outside Activity forms.	
<b>Budget Management</b>	
Review requests for rebudgeting, when notified by the Unit Head that such action will have impact on the department/unit or college.	
Reviewing and making suggestions to resolve issues involving the Uniform Guidance, such as direct/indirect costs.	
Ensure correct accounting of cost sharing through contributed effort.	

<b>USF Research Roles and Responsibilities</b>	
<b>Dean's Office</b>	
Approve the expenditure of matching hard dollars.	
<b>Project Closure</b>	
Ensure that departments have records retention schedules in place that align with the central administrative offices to protect the integrity of the grant records and data collected during the project.	
Oversee issues regarding ownership of scientific data.	
<b>Regulatory Compliance</b>	
Ensure that the Associate Dean, Unit Head, and Principal Investigators adhere to regulatory compliance requirements.	
Conduct inquiries for allegations of Misconduct in Research, when appropriate, and consult on matters of resolution.	
Administer counseling or discipline as appropriate in matters of noncompliance.	
Certify during audits that the college has met all regulatory requirements.	

## USF Research Roles and Responsibilities

### USF Governance and Administration

#### General

USF Governance and Administration of the university comprise the USF President and Corporate Secretary, Senior Vice President for Business and Financial Strategy, Sr. Vice President and Chief Operating Officer, Provost & Executive Vice President, Sr. Vice President for USF Health, Sr. Vice President for Research, Innovation and Knowledge Enterprise, Sr. Vice President for Advancement, Regional Chancellors (St. Petersburg campus and Sarasota-Manatee campus), Vice President for Communications and Marketing, Chief Diversity Officer, Executive Director of Government Relations, USF Ombuds Officer, Executive Director of Audit, Executive Director of Compliance, Vice President of Athletics and the Office of the General Counsel.

Ensure compliance with policies and procedures.

Resolve issues that do not or cannot occur in normal processes. For instance, act on the recommendations of the Sr. Vice President for Research, Innovation and Knowledge Enterprise and the Standing Committee for Research Misconduct to handle allegations and results of scientific misconduct inquiries and investigations. They also act on the recommendations of the Sr. Vice President /Chief Operating Officer and the Inspector General regarding allegations and reports of fiscal misconduct in research. They may act in instances requiring counseling or disciplinary action.

Ensure that faculty and staff have a thorough understanding of the policies and procedures for the proper management of contract and grant proposals, awards, and reporting.

Ensure mechanisms are in place to facilitate the timely processing of grant and contract proposals to meet Sponsored Research deadlines for submission.

<b>USF Research Roles and Responsibilities</b>	
<b>Sr. Vice President for Research, Innovation and Knowledge Enterprise</b>	
<b>General</b>	
<p>The Sr. Vice President for Research, Innovation and Knowledge Enterprise is the chief institutional official responsible for the direction and guidance of the University's research mission and is responsible for policy formulation and oversight related to the research process and communication, awareness, education, and training in the responsible conduct of research. The Sr. Vice President for Research, Innovation and Knowledge Enterprise promotes a University environment that encourages and supports research productivity, maximizing faculty expertise and University resources. In addition, the Sr. Vice President for Research, Innovation and Knowledge Enterprise is responsible for patents and technology marketing arising from inventions by University employees.</p>	
<p>The Sr. Vice President for Research, Innovation and Knowledge Enterprise reports to the President, is a member of the President's Cabinet, and the USF Executive Management Council; serves as the President of the Research Foundation; serves as an ad hoc member of the Research Council, and leads the Research and Innovation Sr. Leadership Team.</p>	
<b>Proposal Preparation &amp; Submission</b>	
<p>Ensure appropriate policies are developed and implemented for a broad range of research activities, including but not limited to: • Proposals involving human subjects and/or live animals. • Proposals involving diving/scuba, recombinant DNA/NRA research, infectious agents, narcotic agents and controlled substances, and biological toxins. • Misconduct in research. • Intellectual property. • Potentially significant conflict of interest situations. • The Principal Investigator's eligibility.</p>	
<b>Proposal Budget</b>	
<p>Evaluate requests for indirect cost rate reductions.</p>	
<p>Approve matching funds if they come from sources outside the college or unit.</p>	
<b>The Award</b>	
<p>Oversee policy formulation for acceptance of awards from sponsors.</p>	

<b>USF Research Roles and Responsibilities</b>	
<b>Sr. Vice President for Research, Innovation and Knowledge Enterprise</b>	
<b>Conduct of the Project</b>	
Oversee all research administration activities at the University.	
Oversee the development and revision of awareness training in the appropriate conduct of project management and financial operations as related to research projects.	
Oversee via a dotted-line reporting relationship with Sponsored Research), the financial management of sponsored accounts (including guidelines in the Uniform Guidance). These include (but are not limited to): <ul style="list-style-type: none"> <li>• The integrity of the University fiscal process; • Billings and collections. • Effort reporting on sponsored accounts. • Indirect cost assessment and interest earnings. • Indirect cost rate proposal preparation and negotiation. • Records retention management.</li> </ul>	
Oversee programs developed in support of nurturing and enhancing the ethical conduct of research (including issues of research misconduct, financial and business conflict of interest, etc.).	
Policy formulation for a broad range of research activities, for example (but not limited to): • Projects involving human and animal subjects. • Potential conflict of interest situations. • Matters related to direct and indirect costs on sponsored accounts. • Cost-sharing through contributed effort. • Rebudgeting within sponsored accounts. • Recording and disposing of program income. • Disclosures, copyrights, intellectual property, and technology transfer. • Projects involving recombinant DNA/RNA research, infectious agents, narcotic agents/controlled substances, scuba diving, and biological toxins.	
While responsibility is never delegated, in some circumstances, the Vice President for Research and Innovation may delegate authority.	
Operational authority for sponsored project administration is currently delegated to Sponsored Research.	
Operational authority for the use of human and animal subjects in research is currently delegated to the Research Integrity & Compliance, a unit within the Research and Innovation which provides support to the Institutional Review Boards (IRB) and the Institutional Animal Care and Use Committee (IACUC)	
Operational authority for patents and licensing, technology transfer, and marketing is currently delegated to Patents and Licensing.	
Operational authority as the Institutional Official in dealing with sponsoring agencies is currently delegated to the head of Sponsored Research or appropriate designees.	

## **USF Research Roles and Responsibilities**

### **Sr. Vice President for Research, Innovation and Knowledge Enterprise**

Operational authority as the advocate for all animals housed at University facilities; and the implementation and administration the AAALAC-accredited Animal Care and Use Program is currently delegated to Comparative Medicine.

Operational authority for oversight of sponsored project financial processes is currently delegated to Sponsored Research.

Operational authority for oversight of effort reporting on sponsored projects is currently delegated to Sponsored Research.

Responsibility for negotiating indirect costs rates with federal and other agencies is currently delegated to Sponsored Research.

<b>USF Research Roles and Responsibilities</b>	
<b>Sponsored Research</b>	
<b>General</b>	
<p>Sponsored Research is the only institutional unit legally able to submit proposals to external entities for financial support in the form of a contract, grant, or agreement, and to commit the University in the event an award is made (USF Policy 0-304). The Sr. Associate Vice President for Research and Innovation and Director of the Sponsored Research are designated and recognized by the agencies as the Institutional Officials and have been delegated by the President and Sr. Vice President for Research, Innovation &amp; Knowledge Enterprise the authority to sign submitted proposals, to negotiate and receive awards, and to conduct any other official business with funding agencies, whether federal or private.</p>	
<p>Sponsored Research is led by the Sr. Associate Vice President for Research and Innovation who reports directly to the Sr. Vice President for Research, Innovation &amp; Knowledge Enterprise and is a member of the Research and Innovation Sr. Leadership Team an ex-officio member of the Research Council.</p>	
<b>Proposal Preparation &amp; Submission</b>	
<p>Provide information, education, and training to researchers in support of grantsmanship and professional development.</p>	
<p>Provide support for and maintain electronic data of faculty expertise for both internal and external uses.</p>	
<p>Provide Electronic Research Administration services to assist researchers who are submitting proposals electronically.</p>	
<p>Sign research proposals and, when submitted by internal deadlines, send them to sponsors.</p>	
<p>Develop and maintain the research proposals and awards database in conjunction with the staff of Research Technologies.</p>	
<b>Technical Proposal</b>	
<p>Prepare the proposal and / or collaborate with others in its preparation.</p>	

<b>USF Research Roles and Responsibilities</b>	
<b>Sponsored Research</b>	
	Identify the need for subcontracts.
	Identify the need for space and facilities.
<b>Proposal Budget</b>	
	Verify that items in the budget are allowable and aligned with the grant or contract purpose, conditions, and criteria.
	Verify that matching or cost sharing is listed in the budget, if so noted on the Internal Form and is approved by respective accountable officers.
	Provide guidance on justifying items in the proposal budget.
	Communicate required indirect cost rates and other standard proposal information.
<b>Proposal Regulatory Requirements</b>	
	Verify that all necessary approvals by institutional boards or departments have been applied for or obtained.
	Receive conflict of interest disclosures and refer them to the Conflict of Interest in Research Committee (CoIRC) for resolution.

<b>USF Research Roles and Responsibilities</b> <b>Sponsored Research</b>	
<b>Internal Form</b>	
	Review the Internal Form for completeness and accuracy.
	Verify regulatory compliance requirements are met.
	Verify effort and budgetary commitments.
	Verify Principal Investigator eligibility and appropriate assignment to appropriate unit/college.
	Verify that all necessary approvals have been applied for and/or obtained.
	Verify that back-up documentation is included and/or forthcoming as required by USF policies and procedures (e.g., IRB approval, conflict of interest issues, etc.).
<b>Negotiations with Sponsor</b>	
	Negotiate, approve, and notify the Principal Investigator of the project terms and conditions, in cooperation with the Principal Investigator.
	Modify the project budget, in collaboration with the Principal Investigator.

USF Research Roles and Responsibilities
Sponsored Research
<b>Acceptance of the Award</b>
Approve and expedite pre-award underwriting arrangements.
Provide institutional oversight for acceptance of awards.
Accept the project budget and notify the Principal Investigator of the project terms and conditions.
Accept and sign the agreement on behalf of the University.
Establish Project IDs and update award information in FAST.
Forward the award information to Sponsored Research.
<b>Conduct of the Project</b>
Review and provide institutional endorsements to the sponsor for requests for administrative or programmatic changes initiated by the Principal Investigator.
Develop, negotiate, process, and approve subcontracts, including obtaining the review and approval of subcontract by the Office of the General Counsel.
Request no-cost extensions and changes in Principal Investigator or scope of work from sponsor, in collaboration with the Principal Investigator.

<b>USF Research Roles and Responsibilities</b>	
<b>Sponsored Research</b>	
<b>Budget Management</b>	
Review and approve certain rebudgeting requests.	
Identify sources of cost sharing with award documentation, when possible.	
Approve carry forward requests, if necessary.	
<b>Program Income</b>	
Identify use and reportability of program income.	
Designate an account number and forward the information to Sponsored Research.	
<b>Effort Reporting and Certification</b>	
Collaborate with Sponsored Research to manage effort reporting issues and processes.	
<b>Intellectual Property</b>	
Provide information to Patents & Licensing, which prepares a report of the invention to the sponsor for federal continuation awards.	

**USF Research Roles and Responsibilities****Sponsored Research****Project Closure**

Assist in resolving payment problems with late or non-payment by funding agencies, in conjunction with Sponsored Research.

Review and provide guidance for completion of closeout reports, such as for patents and equipment.

Assist Sponsored Research with post-award reports and audits.

<b>USF Research Roles and Responsibilities Sponsored Research Post Award</b>
<b>General</b>
Sponsored Research Post Award invoices and compiles required financial reports for sponsors.
Overhead accounts.
NSF expenditure surveys.
The University's indirect cost proposal.
Coordinate activities involving shared responsibilities with other university offices.
<b>Establishing an Account</b>
Establish the project account in the financial system.
Notify the Principal Investigator of institutional requirements and of transactions that can be posted against the account.
<b>Budget Management</b>
Prepare and submit invoices to sponsors.
Provide account information to Principal Investigators, Unit Heads, and Deans upon request.
Approve expenditure transfer requests.

<b>USF Research Roles and Responsibilities</b>	
<b>Sponsored Research Post Award</b>	
	Provide invoicing and financial reports to the sponsor.
<b>Program Income</b>	
	Monitor levels of program income.
	Prepare and send the report of program income to the sponsor.
<b>Effort Reporting and Certification</b>	
	Sponsored Research Post Award Compliance unit is responsible for effort reporting.
	Provide training to faculty and staff in effort reporting (using the Personnel Effort Reporting Tool, PERT), which is mandated through the federal Uniform Guidance.
<b>Project Closure</b>	
	Prepare the final financial report, forward to the Principal Investigator, and deliver to the sponsor.
	Initiate late payment procedures, assist units in identifying uncollectible costs, and remove these costs from the account in accordance with USF write-off practices.
	Coordinate some audits.
	Maintain record retention program for sponsored programs.

<b>USF Research Roles and Responsibilities</b>	
<b>Research Integrity &amp; Compliance</b>	
<b>General</b>	
<p>Research Integrity &amp; Compliance is responsible for the development and administration of some of the key research-related assurance and compliance programs required by federal and state agencies and programs in order to conduct research at USF. Activities include the administration of programs involving human subjects (Institutional Review Boards), animal subjects (Institutional Animal Care and Use Committee), medical grade gases, tax-free alcohol, biohazards (Institutional Biosafety Committee), radioactive materials (Institutional Radiation Safety Committee), laser safety, and the USF Diving Program.</p>	
<p>Research Integrity &amp; Compliance provides educational and certification programs for researchers that qualify them to conduct research at USF.</p>	
<p>The Director of Research Integrity &amp; Compliance reports to the Sr. Associate Vice President for Research and Innovation is a member of the Research and Innovation Sr. Leadership Team.</p>	
<b>Proposal Preparation</b>	
<p>Develop and administer key research-related assurance and compliance programs required by federal and state agencies and programs in order to conduct research at USF</p>	
<p>Provide educational awareness and certification programs for researchers that qualify them to conduct research at USF.</p>	
<p>Provide support to the Institutional Review Boards (IRB), which are responsible for evaluating and providing institutional oversight of proposals involving human subjects.</p>	
<p>Provide support to the Institutional Animal Care and Use Committee (IACUC), which is responsible for evaluating and providing institutional oversight of proposals involving live animals as subjects.</p>	
<p>Provide institutional oversight of proposals involving recombinant DNA/RNA, infectious agents, biological toxins, radioactive materials and/or ionizing or non-ionizing radiation-producing equipment, and other hazardous materials.</p>	
<p>The Institutional Biosafety Committee is responsible for approving proposals involving recombinant DNA, infectious agents, biological toxins, and other biosafety materials.</p>	
<p>The Radiation Safety Committee is responsible for approving proposals involving the use of radioactive materials.</p>	

<b>USF Research Roles and Responsibilities</b>	
<b>Research Integrity &amp; Compliance</b>	
	Approve and certify faculty, staff, and students for scuba use.
	Approve the use of controlled substances, tax-free alcohol, and compressed medical grade gases in the conduct of research.
<b>Conduct of the Project</b>	
	Provide support to the Institutional Review Boards to ensure institutional oversight for adherence to protocols and policies when research involves human subjects.
	Provide institutional oversight for adherence to protocols and policies for research involving live animals as subjects, in collaboration with the Division of Comparative Biomedicine and the Institutional Animal Care and Use Committee.
	Conduct audits of on-going projects that use animals and human subjects to ensure compliance with federal and state regulations.
	Maintain records according to federal policies and regulations.
	Oversee the development and implementation of policy for research involving recombinant DNA, infectious agents, and biological toxins, working with the Institutional Biosafety Committee, and, as needed, with the Division of Environmental Health, Safety and Risk Management.
	Provide institutional oversight for adherence to chemical, biological, physical, and radiation safety requirements during the conduct of research, in conjunction with the Radiation Safety Committee, Biosafety Committee, or when needed with the Division of Environmental Health, Safety and Risk Management.
	Oversee policies and procedures on using legend and investigational new drugs for clinical research, medical grade gases, controlled substances and narcotics, and tax-free alcohol.

<b>USF Research Roles and Responsibilities</b>
<b>Comparative Medicine</b>
<b>General</b>
Comparative Medicine serves as the advocate for all animals housed at University facilities; and implements and administers the AAALAC-accredited Animal Care and Use Program.
The Director of Comparative Medicine reports to the Sr Associate Vice President for Research and Innovation and is a member of the Research and Innovation Sr. Leadership Team.
Veterinary oversight of animal health and well-being in accordance with the Animal Welfare Act, Public Health Service Policy, and the Guide for the Care and Use of Laboratory Animals.
Guide and assist with veterinary medical and surgical techniques, services of disease surveillance, diagnosis and treatment, animal husbandry and nutrition, zoonosis control, hazard containment, and sanitation.
Maintain research personnel files including curriculum vitae of primary and secondary investigators and all training records. Ensure that all personnel have adequate knowledge and ability to perform their duties of animal care, use, and treatment.
Manage and control ordering and billing for all animals used in research and teaching; and specific animal supplies and equipment.
Manage and control all in-house movements of animals including relocation, reassignment, or shipment.
Administer the USF Controlled Substance Program.
Oversee and manage all pre-clinical animal GLP studies to assure that they are conducted in conformance with the regulations in 21 CFR Part 58.
Manage the Occupational Health and Safety Program for research staff and animal care providers in conjunction with university Health Administration.

<b>USF Research Roles and Responsibilities</b>
<b>Patents &amp; Licensing</b>
<b>General</b>
Patents & Licensing is the only institutional unit authorized to submit patent applications to the US Patent Office on behalf of USF faculty, staff, and students.
The Director reports to the Associate Vice President of Technology Transfer & Business Partnerships who reports to the Sr. Associate Vice President for Research & Innovation and is a member of the Research and Innovation Sr. Leadership Team.
<b>Proposal Preparation &amp; Submission</b>
Prepare or review contracts between the University and external sources with respect to the protection of intellectual property.
<b>Intellectual Property</b>
Provide assistance to faculty, staff, and students to complete disclosure forms for initiating the intellectual property disclosure process.
Evaluate intellectual property disclosure forms on behalf of the Sr. Vice President for Research, Innovation & Knowledge Enterprise and notifying the applicant of review results.
Provide invention disclosure and patent application progress reports to the inventors and the Sr. Vice President for Research, Innovation & Knowledge Enterprise.
Prepare and file patent applications with United States Patent Office.
Initiate and prepare licensing agreements for the approval of the Sr. Vice President for Research, Innovation & Knowledge Enterprise and notify the relevant parties.
Monitor license agreement activity for compliance in conjunction with USF Research Foundation.
Review Report of Outside Activity Forms when the waiver of patent rights is indicated.

## **USF Research Roles and Responsibilities**

### **Patents & Licensing**

Review and approve incoming Material Transfer and/or Confidentiality Agreements; and/or review, negotiate, and execute Material Transfer and/or Confidentiality Agreements.

Initiate, negotiate and execute Inter-institutional Agreements as needed.

<b>USF Research Roles and Responsibilities</b>	
<b>USF Research Foundation</b>	
<b>General</b>	
The USF Research Foundation is a non-profit, direct-support organization that supports and facilitates research activities related to patent and license royalties and post-award functions of certain contracts and grants. The Research Foundation operationally reports to the Sr. Vice President for Research, Innovation & Knowledge Enterprise and is directed by a Board, of which the Executive Vice President and Chief Financial Officer, is the President.	
<b>Establishing the Account</b>	
Establish the project account in the financial system.	
Notify the Principal Investigator of institutional requirements and of transactions that can be posted against the account.	
<b>Budget Management</b>	
Prepare and submit invoices to sponsors.	
Review submitted encumbrance and expenditure requests.	
Process purchase orders for approved encumbrance requests and pay approved expenditure requests.	
Approve and record expenditures in the financial system.	
Provide account information to Principal Investigators, Unit Heads, and Deans, monthly and upon request.	
Approve expenditure transfer requests.	
Receive payments from sponsors and deposit such in appropriate Research Foundation project accounts.	

<b>USF Research Roles and Responsibilities</b>	
<b>USF Research Foundation</b>	
Provide financial reports to the sponsor as required and notify the Principal Investigator of such reporting requests and submissions.	
<b>Program Income</b>	
Deposit program income.	
Monitor levels of program income.	
Prepare and send the report of program income to the sponsor and a copy to the Principal Investigator.	
<b>License Management</b>	
In conjunction with Patents & Licensing, monitor license agreement activity for compliance.	
Distribute license revenue according to University policy as delineated in the applicable Revenue Allocation Agreement.	
<b>Project Closure</b>	
Prepare and approve the final financial report as required and notify the Principal Investigator.	
Initiate late payment procedures, assist units in identifying uncollectible costs, and remove these costs from the account.	
Close project accounts in the financial system.	
Coordinate audits.	

<b>USF Research Roles and Responsibilities</b>	
<b>Environmental Health and Safety</b>	
<b>General</b>	
	<p>Environmental Health, Safety &amp; Risk Management is responsible for the development, implementation, and administration of environmental health, safety, and risk management programs required by federal, state, and local agencies for the USF community. Activities of this Division include the following programs: Laboratory Safety (OSHA Laboratory Safety and Chemical Hygiene Standard), Chemical Safety, Blood borne Pathogens, Biological and Chemical Waste disposal, Indoor Air Quality, Life Safety Code Compliance (Fire Safety), Hazard Communication and Identification, Industrial Hygiene/Occupational Health, Laser Safety, Workers Compensation, Accident Investigation, Property/Casualty Insurance, Site Audits and Ergonomics.</p>
	<p>Environmental Health, Safety &amp; Risk Management provides the appropriate educational training and awareness to researchers, support staff, and the University community in the above listed areas.</p>
	<p>The Director of Environmental Health, Safety &amp; Risk Management reports to the Associate Vice President for Administrative Services.</p>
	<p>Develop and administer environmental health, safety and risk management programs and policies required by federal, state and local agencies to ensure compliance based on the types of activities and research at USF.</p>
	<p>Provide educational awareness and training for all researches and support staff.</p>
	<p>Provide institutional support for proposals involving infectious agents, biological toxins, and other potentially hazardous materials.</p>
	<p>Provide institutional oversight for adherence to protocols and policies for research involving chemical safety, laboratory safety, laser safety, and bio-safety.</p>
	<p>Conduct audits of on going projects to ensure compliance with the appropriate federal, state, and local regulations.</p>
	<p>Implement medical surveillance programs as needed to ensure worker protection during all research activities.</p>
	<p>Maintain records according to federal, state, and local policies and regulations.</p>
	<p>Coordinate the pick up and disposal of identified hazardous chemical waste and biological waste products.</p>

## **USF Research Roles and Responsibilities**

### **Environmental Health and Safety**

Implement a check in/ check out policy and procedure for all research laboratories to ensure that excess chemicals, unused chemicals, and waste chemicals are handled in an appropriate and legal manner.

Administer the USF Workers Compensation program to aid in the treatment of injured employees and in the prevention of accidents in the research environment.

<b>USF Research Roles and Responsibilities</b>	
<b>Business &amp; Finance, University Controller's Office</b>	
<b>General</b>	
The Associate Vice President for University Services oversees the University Controller's Office, Purchasing and Property Office.	
<b>Acquisition Services</b>	
The Controller is responsible for ensuring quality, cost-effective, and expedient services for the purchase, delivery, and payment of goods and services, including travel, and provides oversight of the functions of Purchasing, Accounts Payable, Travel, Cashier, Property, and Central Receiving.	
Purchasing Services approves all purchases and purchasing contracts, prior to a commitment being made, that involve the procurement of equipment, furnishings, supplies, printing, contractual services for consultants, maintenance, software licenses, and leases.	
Accounts Payable processes the payment of invoices for goods and services resulting from purchase orders and the State of Florida credit card (P-Card) per the Florida Statute for prompt vendor payment.	
The Travel Office reimburses individuals for expenses incurred while traveling on official University business and, as such, is responsible for ensuring the documentation submitted by travelers for reimbursement is appropriate according to regulations issued by the State Comptroller's Office.	
<b>Budget Management</b>	
Oversee policy formation on expenditure transfers.	
Oversee policy formulation and provide institutional oversight to resolve over-expenditures.	
The Cashier's Office receives payments from sponsors and depositing them in University accounts.	
Provide timely and accurate financial information/reports using general ledgers.	

**Program Income****USF Research Roles and Responsibilities**  
**Business & Finance, University Controller's Office**

The Controller oversees the recording and reporting of program income.

**Project Closure**

Property Inventory & Records prepares and approves equipment reports.

The Controller establishes policies and procedures governing late payments and the removal of non-collectible costs.

<b>USF Research Roles and Responsibilities</b>	
<b>University Audit &amp; Compliance</b>	
<b>General</b>	
University Audit & Compliance has an independent appraisal function within the University. The Executive Director reports directly to the President.	
Provide information, assessments, and observations regarding the effectiveness and adequacy of the University's financial, operational, and compliance internal control processes to aid them in fulfilling their oversight responsibilities.	
Consider risks, by monitoring University activities, and recommend, when appropriate, actions to take to reduce risks to a reasonable level.	
Conduct special organizational reviews of business practices and recommend improved management practices.	
Promote compliance with University policies, procedures, applicable laws, and regulations to improve operational efficiencies.	
Provide training in fiscal/audit compliance matters to faculty and staff.	
Investigate allegations of fiscal misconduct and provide reports of findings to appropriate USF officials.	
Conduct audit inquiries, when required.	