

# Augusta University

## Policy Library

# Management and Administration of Sponsored Projects

**Policy Manager: Sponsored Programs Administration**

### POLICY STATEMENT

This policy is to guide Principal Investigators, Investigators, department and program chairs, project leaders and deans and others within the University on the management of externally sponsored projects. The policy outlines University policies for matters related to sponsored programs and activities. The Senior Vice President for Research and Associate Vice President for Sponsored Programs may also issue guidelines or other memoranda that explicate, expand upon or supplement the principles in this policy. In addition to following this policy, Principal Investigators and others responsible for sponsored projects should read their grant and contract documents carefully and be familiar with all requirements, terms, and conditions stated therein.

### AFFECTED STAKEHOLDERS

*Indicate all entities and persons within the Enterprise that are affected by this policy:*

- Alumni     Faculty     Graduate Students     Health Professional Students  
 Staff     Undergraduate Students     Vendors/Contractors     Visitors  
 Other:

### DEFINITIONS

**Grant:** means a financial award to a recipient to carry out an approved project or activity. A grant generally anticipates no substantive programmatic involvement of the sponsor with the recipient during performance of the project or activity, but the sponsor generally requests an accounting of the use of the funds and reports on the results of the project or activity. Augusta University (AU) or Augusta University Research Institute may commit resources or services as a condition of the grant. Grant activity includes basic and clinical research, public service, educationally related proposals and awards whether solicited or unsolicited, which are either submitted to and received by federal, state, municipal or county agencies, public or private corporations and/or public and private foundations or individual.

**Augusta University Enterprise entities:** Is comprised of the following: Augusta University, Augusta University Research Institute, Inc., AU Health System, AU Medical Center, Warms Springs Rehabilitation Institute Nursing Home, Augusta University Medical Associates, and the following related entities: Augusta University Foundation, Georgia Health Sciences Foundation, Medical College of Georgia Foundation and Practice plans for Augusta University Dental Associates, Augusta University Nursing Associates, Inc., Augusta University Health Professions Associates, Inc., and Student Counseling & Psychological Services.

**Contract:** a written agreement between the Research Institute and/or the University and a sponsor to provide an economic benefit to the sponsor, generally in the form of a service, for compensation. The

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**Executive Sponsor: VP, Sponsored Programs Administration**

**Next Review: 8/2027**

agreement is binding and creates a quid pro quo relationship between the parties. Augusta University or AURI may commit resources or services. Contract activity includes, basic, and applied clinical research and development and may be for public service, and educational activities. Contracts may be solicited or unsolicited, which are either submitted to and received by federal, state, municipal or county agencies, public or private corporations and/or public and private foundations or individuals.

**Cooperative Agreement:** Similar to a grant a cooperative agreement is an arrangement under which there is a transfer of funds from the sponsor to the institution, to assist the institution in reaching a particular goal. Unlike grants, cooperative agreements have a significant level of sponsor participation in the direction of the project or activity. Generally cooperative agreements result from a proposal submitted to a federal entity.

**Investigator** is defined as the Principal Investigator and any other person, regardless of their position or title, who is responsible for the design, conduct, or reporting of a sponsored research award or proposal for such funding.

**Principal Investigator (PI):** the individual officially responsible for the conduct of a sponsored project, or the individual officially responsible for the conduct of any funded project. On research projects the PI is usually a faculty member; on other types of awards, the PI may have an administrative appointment. The PI is always an investigator.

**Research:** a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research (e.g., a published article, book, or book chapter) and product development (e.g., a diagnostic test or drug). The term includes any such activity for which sponsored funding is available such as a research grant, career development award, center grant, individual fellowship award, infrastructure award, institutional training grant, program project, research resources award, or other contractual mechanism.

**Research Institute:** means the Augusta University Research Institute Inc., (AURI), a private non-profit 501(c)(3) corporation. As the applicant and awardee institution for most sponsored proposals developed by Augusta University faculty, AURI is supported by the pre-award and post-award staff of the Division of Sponsored Program Administration. As each sponsored project is funded, AURI enters into a subcontract with Augusta University for the performance of the work. Sponsor payments are received by AURI and paid to Augusta University. AURI retains a portion of the Facilities and Administrative costs paid by sponsors to support its operations to fund the reinvestment programs designed to support the University's research mission. Unless the sponsor stipulates that the proposal must be submitted on behalf of an institute of higher education all proposals are submitted by AURI.

**Sponsor:** the party paying for the services or other economic benefit under a contract or providing the financial award for a project under a grant.

**Sponsored Account:** is an account established for the receipt and expensing of funds from a source external to the institution for project-specific purposes.

**Statement of Work/Scope of Work:** the description of the project to be accomplished as submitted and subsequently amended upon which the grant, cooperative agreement or contract is awarded Sponsored Projects: externally-funded activities in which a formal written agreement is entered into by Augusta University, or Augusta University Research Institute, and any other Augusta University Enterprise Entity, such as a grant, cooperative agreement or contract, which is not a gift, endowment, or contracted service. Sponsored programs usually involve research, training, or service activities and typically include one or more of the following: formal sponsor application guidelines; restrictions on the use of funds; a specific and limited program period; specified performance or outcomes; specified use of program outcomes or data; and/or, required fiscal and/or programmatic reports.

**Stem Cell Research:** “Human stem cell research,” as stated in this policy refers to research involving derivation and use of human pluripotent stem cells (hPSC), including but not limited to human embryonic stem cells (hESC), human embryonic germ cells, and any pluripotent stem cells derived from other human tissues by reprogramming (human induced Pluripotent Stem Cells). Human somatic cell nuclear transplantation, and use of stem cells derived from nuclear and/or cytoplasmic transfer are also considered “human stem cell research” for the purposes of this policy.

**Personally Identifiable Information (PII):** as defined in DoD 5400.11-R, Department of Defense Privacy Program, May 14, 2007 is: “Personal Information: Information about an individual that identifies, links, relates, or is unique to, or describes him or her, e.g., a social security number; age; military rank; marital status; race; salary; home phone numbers; other demographic, biometric, personnel, medical, and financial information, etc.” Such information is also known as personally identifiable information (i.e., information which can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, including any other personal information which is linked or linkable to a specified individual). Further guidance regarding the protection of PII and other applicable regulations regarding is provided by the Department of Health and Human Services.

**University:** means Augusta University.

### **Guiding Principles and Rights**

The expansion of knowledge and its dissemination through research and scholarly work are integral to all aspects of Augusta University's missions of instruction, discovery, clinical care, and service. Accordingly, members of the faculty are encouraged and expected to seek funding for basic and clinical research, service, and instruction projects that are of interest to them provided that any source of funding and any terms imposed by that source comply with University policies and procedures and state and federal law.

In the conduct of such research,  
 Principal Investigators shall:

- follow the highest ethical and professional standard ensuring that students and any others engaged in research activities are properly trained in the ethical and responsible conduct of research;
- provide for the health and safety of students, post-doctoral fellows, and research and support staff;
- provide for the health and safety of human subjects in research and safeguard their privacy;

- provide for the humane treatment of animals;
- properly manage and be compliant with all safeguards and policies when working with chemicals, radiological, bio-hazardous, or any other materials which require special handling;
- ensure that data resulting from research and other projects is properly managed and that the results and conclusions resulting are disseminated appropriately in keeping with the principles of academic freedom and openness in research;
- comply with Georgia state law and board of Regents policies, University and applicable Augusta University Enterprise entity policies as well as and federal laws and regulations, and the specific terms of sponsors' agreements.

## **PROCESS & PROCEDURES**

### **Principal Investigator Eligibility**

The primary means for ensuring the quality of research is through the rigorous academic standards applied in selecting members of the Faculty. (Only a few individuals, who are not members of the Faculty, after thorough review of their qualifications, are accorded the right to serve as Principal Investigator (PI) and to seek external research support on a continuing basis.) While some sponsor proposals allow for multiple PIs, AU Sponsored Programs, AU Institutional Animal Care and Use Committee (IACUC), and AU IRB require only one person as the Lead PI, who bears ultimate responsibility for academic decisions as well as for financial, administrative, and compliance matters relating to the project.

The PI assumes responsibilities for which the University is liable. The University cannot delegate those responsibilities to individuals over whom it has little or no authority. Exceptions are made only if sponsors stipulate that individuals without Augusta University PI rights be designated as PIs. In all such cases, the University retains a distinction between PI statuses insofar as the agency is concerned and PI status from its own viewpoint.

Full-time Faculty are eligible to serve as Principal Investigators. Any exceptions require the prior written approval of the Sr. Vice President for Research.

### **Responsibilities**

**Principal Investigators:** Principal Investigators have the primary responsibility to ensure that students, post-doctoral fellows, research staff and any visiting scholars receive the appropriate instruction and mentorship necessary to participate in the responsible conduct of research. This instruction and mentorship program should include, but not be limited to: conflict of interest – personal, professional, and financial policies regarding human subjects, live vertebrate animal subjects in research, and safe laboratory practices, including biological, radiological, chemicals, and other hazardous materials; mentor/mentee responsibilities and relationships; collaborative research including collaborations with industry peer review data acquisition and laboratory tools; management, sharing and ownership research misconduct and policies for handling misconduct; responsible authorship and publication and the scientist as a responsible member of society, contemporary ethical issues in biomedical research, and the environmental and societal impacts of scientific research. Principal Investigators shall ensure that

students, post docs and clinical and research staff as applicable complete the necessary training prior to conducting any research in these areas.

Principal Investigators are responsible for keeping themselves informed of such matters as export control regulations and stem cell issues and provide information and training to their research staff, post docs and students through resources provided through their College or by the University. Principal Investigators shall also inform their research staff, post docs and students of those University policies and procedures that may impact their research projects such as those on purchasing, travel, and intellectual property. Principal Investigators should inform members of their research teams, including students and post docs, of the source of support of the research and of their salary or stipend and Principal Investigators must have first-hand knowledge of the effort and amount and type of contribution each person makes to a research project.

In the mentorship of students, Principal Investigators shall avoid the acceptance of external sponsorship of research activities which would compromise a student's ability to publish or discuss his/her work openly or jeopardize a student's ability to satisfy a graduation requirement in a timely manner due to a sponsor's imposed time constraint. In the event any such work is contemplated the Dean of Graduate Studies and the Senior Vice President for Research or their designees shall meet individually with any students to ensure that undue pressure to participate in such research is not imposed and that any such students are provided with alternate means of support in the advent that they choose not to participate in the project.

Principal Investigators are discouraged from pursuing work for hire or work that is not fundamental research or that is a service ordinarily performed by a commercial entity. Notwithstanding the foregoing, the University recognizes that there may be occasions where it is appropriate for faculty to undertake such work because of the opportunities it may provide for students or others to collaborate with a sponsor or the unique instrumentation available at the University or expertise of a Principal Investigator. Under these circumstances, the prior written approval of the Associate Vice President for Research is required.

The Augusta University Enterprise Entities in supporting sponsored research activities by their clinicians, faculty, post docs and research staff, assume certain responsibilities. The college deans' and the department chairs' approval of a proposal certifies to the following:

- compliance with existing University and departmental policies,
- scholarly merit of the project;
- the competence of the Principal Investigator in the area of research;
- the ability of the Principal Investigator to successfully manage the proposed research project;
- that, to the extent possible, the research project relates to the academic objectives of the department and provides opportunities for graduate and/or undergraduate education or research training;
- the capability of the department to provide necessary administrative support (personnel and supplies);
- the availability of medical center, university and/or department space, facilities, and equipment to fulfill project needs;

- any additional information technology resources needed for the project have been identified and communicated to the appropriate university office;
- the adequacy of the budget and the determination of the department to prevent cost overruns;
- the project will be conducted with appropriate recognition of applicable safety standards and regulations and the existence of plans for appropriate action to comply with standards, regulations, and the agreement and oversight requirements.

The Augusta University Enterprise affirms its role in working with Principal Investigators, departments, and schools to provide the resources, infrastructure and facilities necessary to support a strong program of research, subject to its strategic academic priorities and financial capabilities.

### **Proposal Preparation**

The preparation and submission of a proposal is directed by the Principal Investigator who assumes responsibility for the identification of an appropriate sponsor, use of any application forms specific to a sponsor, the content of the proposal (including the budget), and, when applicable, mailing and/or submission of the proposal in its final form to the sponsor. The Division of Sponsored Programs ("DSPA") may be contacted for assistance in identifying potential sponsors and securing any sponsor application materials. To the extent possible, proposals should provide educational opportunities for, and permit the participation of, undergraduate and graduate students and post-doctoral fellows.

All proposals submitted for research and other sponsored projects to be performed by faculty, students and/or staff at the University require the review and approval of the Division of Sponsored Programs prior to submission. DSPA Staff are responsible for providing the official signature on all proposals submitted on behalf of the University. Complete proposals must be routed to DSPA a minimum of three business days prior to the official sponsor deadline. This ensures adequate time for budgetary and regulatory review as well as review for conformity with sponsor guidelines; time to make any necessary corrections and time to ensure that the proposal is submitted and reviewed by the sponsor.

The proposal budget should include all anticipated costs of the proposed project including, but not limited to: personnel costs (salaries, fringe benefits, and tuition remission or health insurance), equipment, supplies and materials, travel, subcontractors, patient care costs, animal care costs, consultants, any other anticipated costs, and associated facilities and administrative costs. Allowance shall be made for salary increases and inflationary increases in materials at appropriate rates. Salary increases shall be based on the following criteria: knowledge of an increase from the relevant dean's office; the average of the rates of increase for the prior three years, or a rate determined by a sponsoring agency.

Requests for waivers or reductions in the federally approved facilities and administrative rate for budgets must be reviewed by the appropriate dean(s) and approved by the Associate Vice President for Sponsored Programs and the Senior Vice President for Research. A copy of the written waiver must be submitted to DSPA with the proposal. Approval is not required for reduced facilities and administrative rates based on policies of external sponsors; documentation of a sponsor's policy should be provided to DSPA. Cost sharing included in budgets shall follow current procedures established by the University and should be

detailed on the University's cost sharing form. Proposals should include a budget justification consistent with a sponsor's requirements.

### **Negotiations and Grant/Contract Management**

In the event a proposal is funded, the Research Institute and/or the University, not the Principal Investigator, assumes responsibility for negotiating and formally accepting agreements from external sponsors. This ensures that all legal requirements incumbent upon the Research Institute and University in the application and acceptance of outside funding are carefully reviewed and appropriately acknowledged and that University policies and procedures are consistently and reasonably applied and followed. Some agreements (i.e., grants) are issued on a unilateral basis and require no negotiations or signatures from the AURI or the University except under unusual circumstances. Award negotiations are the responsibility of the Division of Sponsored Programs Administration under the overall supervision of the Senior Vice President Research with assistance provided by the offices of the Office of Legal Affairs, Office of Innovation Commercialization and the Compliance and Enterprise Risk Management Office, as needed. Except for rare instances, agreements with sponsors are executed between the Augusta University Research Institute acting on behalf of Augusta University and the Augusta University Enterprise (not the Principal Investigator) and the sponsor. In accepting these legally binding agreements, the AURI or Augusta University becomes the grantee or the contractor. As a subcontractor to the AURI the Principal Investigator becomes responsible for the technical work, fiscal oversight, and the overall management of the project, and he/she is obligated, together with the University, to comply with all terms of the agreement.

### **Acceptance of Awards**

The official acceptance of awards from external sponsors is done by the Division of Sponsored Programs. Signature authority with regard to research agreements rests with the Senior Vice President for Research. Signature authority is primarily delegated to the Associate Vice President for Research. The Associate Vice President for Research, in their capacity as the Executive Director of the Augusta University Research Institute, may sign proposals and accept awards on behalf of either the Research Institute or the University. Principal Investigators are not authorized to sign agreements on behalf of Augusta University or Augusta University Enterprise entities, including but not limited to non-disclosure and material transfer agreements.

### **Research Involving Human Subjects**

The Institutional Review Board (IRB) of the University conducts the initial review and approval, and the continuing review, of research involving the participation of human subjects through an Assurance approved by the appropriate federal agency. All reviews are conducted in accordance with this Assurance and the Code of Federal Regulations Title 45 Part 46 and Title 21 Parts 50 and 56 for the purpose of protecting the rights and welfare of human subjects involved in research and to assist the Principal Investigator and the University in their mutual obligation to comply with federal, state and Augusta University policies with respect to these subjects.

The jurisdiction of the Augusta University IRB shall include research involving the participation of human subjects under the following circumstances:

- Research which is sponsored by the University;
- Research conducted by or under the direction of a Augusta University employee acting in their capacity as an Augusta University employee (student research must be conducted under the direction of an identified Augusta University faculty member);
- Research conducted by an individual(s) not employed by a Augusta University Enterprise entity but which is utilizing Augusta University students, staff, post docs or faculty as research subjects; and
- Research conducted by an individual(s) not employed by Augusta University, but which is conducting research on the property or in facilities of Augusta University.

"Human subjects," for the purposes of the IRB and its responsibilities, are defined as living individuals about whom a researcher conducting research obtains: (1) data through intervention or interaction with the individual; or (2) personally identifiable information (PII). PII includes information: (a) about behavior that occurs in a context in which a subject would reasonably expect that no observation would take place; or (b) which has been provided for specific purposes by a subject and which the subject can reasonably expect will not be made public (for example, a name, address, social security number, medical record, et cetera).

No research involving human subjects shall be conducted by faculty, staff, post docs or students until each has undergone the required training and official communication has been received from the IRB that the research protocol has been reviewed and approved. Questions regarding such training shall be referred to the Office of Human Research Protection (OHRP).

### **Research Involving Animals**

Research involving vertebrate animals conducted by Augusta University personnel, or in Augusta University facilities or on Augusta University property shall be undertaken only after review and approval by the University's IACUC. The activities of the IACUC shall be conducted in accordance with all applicable federal regulations and governed by The Laboratory Animal Welfare Act, Public Law 89-544, as amended, and such instructions and guidelines as may be issued by the National Institutes of Health, the U.S. Department of Agriculture or other federal agency. All research will be conducted in a manner that maintains the assurance of the institution under the NIH Office of Laboratory Animal Welfare and the accreditation of the institution by the Association for the Assessment and Accreditation of Laboratory Animal Care. No research involving animals, nor the purchase of animals for use in research, shall be undertaken by Augusta University personnel until each has undergone the required training and official communication has been received from the IACUC that the research protocol has been reviewed and approved. Questions regarding such training shall be referred to the Augusta University IACUC.

### **Research Projects Involving Recombinant DNA or Synthetic Nucleic Acid Molecules**

Research conducted by Augusta University faculty, research staff, post docs and students involving recombinant or synthetic nucleic acid molecules, regardless of sponsorship or source of funding, shall be



conducted only with the approval and under the cognizance of the Augusta University Institutional Biosafety Committee (IBC), and in accordance with the Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules, published by the National Institutes of Health. It is the charge of the Institutional Biosafety Committee to ensure that activities involving recombinant or synthetic nucleic acids conducted at Augusta University or on Augusta University property are conducted safely and comply with all applicable regulations. IBC approval is required for the use of any of the following:

- Any recombinant DNA (this includes NIH Guidelines “exempt” and “non-exempt” materials) (e.g., human gene therapy/transfer, viral vectors, plasmids, transgenic animals);
- CDC/USDA regulated Select Agents/Toxins (see, Select Agent and Toxin List);
- Fixed and unfixed cadavers, mammalian cells, cell lines, tissues, organs, blood, urine or other fluids (e.g., human and non-human primate materials);
- Whole animals, cells, cell lines, tissues, organs, blood, urine or other fluids (e.g., commercial, field caught, gained from a collaborator);
- Microbial and/or potentially infectious agents (e.g., viruses, yeast, bacteria, fungi, parasites, prions);
- Toxins of biological origin with an LD 50 <100ug/kg of body weight or poisonous, toxic or venomous plants, animals or insects (e.g., pertussis toxin, diphtheria toxin);
- Large scale cultures  $\geq 10$  liters at any one time of any biological substance; and/or
- Shipping of biological materials (e.g., potentially infectious agents, clinical/diagnostic specimens, cultures of microorganisms or cells, tissues, genetically modified organisms, toxins of biological origin) and dangerous goods (e.g. Dry ice, liquid nitrogen, fixatives).

Such approval must be obtained prior to any research involving these materials and prior to the sponsored project being undertaken. Contact the Biosafety Office (Environmental Health and Safety Division) for guidance.

### **Research Projects Involving Stem Cells**

All individuals conducting human pluripotent stem cell research involving primary human tissue or human cultured cells to create pluripotent stem cells must submit a protocol to the HSCR for review and approval prior to initiation of the study. This must be done even if there are no plans to put such cells into human subjects and/or if the human stem cells are obtained from an external source (including from commercial and repository sources). Approval must also be obtained from the IBC, and the IRB, and/or the IACUC, as appropriate. Stem cell research that is not permitted at this time at AU include:

- Derivation of new hESC lines by nuclear transfer.
- *In vitro* culture of any intact human embryo beyond formation of the primitive streak.
- hPSC introduction into non-human primate blastocysts, or in which any embryonic stem cells are introduced into human blastocysts.
- Breeding of animals into which hPSC have been introduced (at any stage of development).”

For additional information on Research Projects Involving Stem Cells, refer to Human Stem Cell Research (HSCR) Committee Research Policy.

### **Research Projects Involving Select Agents**

The University currently does not engage in any research involving select agents as defined and covered by the rules of the U.S. Department of Health and Human Services. Accordingly, any applications for proposed sponsored research involving any select agents must first be submitted to, and approved in writing by, the Senior Vice President for Research and the President of the University prior to submission to a potential sponsor.

### **Hazardous Materials and Devices**

The purchase, use, handling, and disposal of hazardous materials, and radiation-producing devices (including medical and research x-ray machines and laser systems) must comply with state and federal regulations, the policies and procedures of the University, and in conjunction with the University's Environmental Health and Safety (EHS) Division. The following authorizations are required:

- **Chemicals:** Authorization to use chemicals is obtained from the Institutional Chemical Committee. Contact the Chemical Safety Office for guidance.
- **Radioactive materials and x-ray equipment:** Authorization to use radioactive materials or x-ray systems is obtained from the Radiation Safety Committee. Access to research irradiators requires special authorization, including clearance by federal agencies. Contact the Radiation Safety Office for guidance.
- **Lasers:** Authorization to use laser systems is obtained from the Laser Safety Subcommittee. Contact the Environmental Health and Occupational Safety Office for guidance.

### **Transfer of Materials**

Any research materials that are transferred to Augusta University from a third party or from to an Augusta University third party by faculty, staff, or students must be transferred pursuant to a Material Transfer Agreement (MTA). MTAs shall be negotiated and executed by the Office of Innovation Commercialization and may be executed by either Augusta University or AURI. All such research material transfers shall be made in accordance with applicable federal, state, and local requirements.

### **Export Controls**

All exporting of materials and data shall be in compliance with federal regulations [i.e., Export Administration Regulations (EAR) and International Traffic in Arms Regulations (ITAR)]. Exporting shall include actual shipments or transmission of items subject to EAR and ITAR or disclosing, either by oral or visual means, technical data or technology to a foreign person whether in the United States (deemed export) or abroad. The exporting of any materials or data shall be done with the assistance and approval of the Division of Sponsored Programs Administration and the Office of General Counsel, as necessary.

### **Expenditures of Grant/Contract Funds**

The grant/contract period begins on the effective date of the agreement and runs for the length of time indicated on the award document. Expenditures incurred prior to the effective date of the grant/contract may not be charged against the project account unless specifically authorized in the award document or

approval has been received by the sponsor or by other means (i.e., expanded authorities granted by federal agencies). No expenditures may be made after the scheduled expiration date of the agreement unless approved by the sponsor.

All sponsored programs accounting functions shall be under the direction of the Division of Sponsored Programs in collaboration with the Office of the Controller. It is the ultimate responsibility of the Principal Investigator to ensure that all charges to an externally funded project are made in accordance with the terms and conditions of the award, including the approved budget, and in accordance with the relevant policies of the University.

### **Sponsored Programs Work: Ownership and Record Keeping and Record Retention**

Ownership to Sponsored Programs work, including rights to data, materials, records and any other form of intellectual property developed under a sponsored program will be specified in each agreement. Custodial ownership resides with the University while stewardship responsibility resides with the Principal Investigator. Exceptions to University policy on intellectual property, data ownership and transfer are determined on a case-by-case basis in consultation with the Principal Investigator, Department Chair, Dean, and the Office of the Senior Vice President for Research.

**Record Keeping and Record Retention:** all necessary records and reports pertaining to a sponsored programs agreement will be maintained by the Division of Sponsored Programs Administration while the project is active. Records shall be maintained for a minimum of three years after the end date of the sponsored project unless otherwise stipulated in the sponsored programs agreement or by state or federal requirements. Records may be kept in paper or electronic format. The Principal Investigator is responsible for retaining laboratory notebooks and other primary data records whether paper or electronic as necessary to meet sponsor requirements and to protect intellectual property interests and to allow for the replication and verification of their work.

### **Grant/Contract Closeout**

It is the responsibility of the Principal Investigator to ensure that all periodic and final technical reports are transmitted to the sponsor in accordance with the terms of the award. Failure to submit reports on a timely basis may result in action by the University against the Principal Investigator, including ineligibility to submit any future proposals for sponsored research until all delinquent reports have been submitted and accepted by a sponsor.

Augusta University through the Division of Sponsored Programs Administration and the Office Innovation Commercialization are responsible for submitting all invention, equipment/property (associated with sponsored programs) and fiscal reports. The Principal Investigator shall work with, and provide the necessary information to, these offices to ensure the timely and accurate submission of all reports.

## REFERENCES & SUPPORTING DOCUMENTS

### Other Policies and Procedures Governing Research

The following policies and procedures are incorporated herein and embody the principles set forth in this policy and provide further policy and guidance applicable to the research activities of Principal Investigators.

#### Augusta University Policies

##### Compliance and Enterprise Risk Management

- Ethics Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/ethics-policy.pdf>
- Enterprise Risk Management Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/enterprise-risk-management.pdf>
- Privacy of Health Information Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/privacy-health-information.pdf>

##### Controller's Division

- Records Retention Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/records-retention.pdf>

##### Environmental Health and Occupational Safety

- Compressed Gas Cylinders: Safety for Use, Storage and Handling Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/compressed-gas-cylinder-policy.pdf>
- Confined Space Entry Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/confined-space-entry-policy.pdf>

##### Environmental Health and Safety (EH&S)

- Correction of Safety Hazards Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/correction-safety-hazards.pdf>
- Electrical Safety Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/electrical-safety-policy.pdf>
- Flammable and Combustible Liquids Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/flammable-combustible-liquids-policy.pdf>
- Hazardous Chemical Protection and Right-To-Know Plan Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/hazardous-chemical-protection-right-know-policy.pdf>
- Minors in Laboratories or Other Potentially Hazardous Areas Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/minors-laboratories-other-potentially-hazardous-areas.pdf>

- Research Use of Controlled Substances Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/research-use-controlled-substances-policy.pdf>

### **Human Resources Division**

- Employment Procedures  
<https://www.augusta.edu/services/legal/policyinfo/policy/employment-procedures-policy.pdf>
- Establishment of a New Non-Academic Position Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/establishment-new-non-academic-position-policy.pdf>
- House Staff/Residents and Clinical Fellows Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/house-staff-residents-clinical-fellows-policy.pdf>
- Grievance Procedures for Employees and Postdoctoral Fellows Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/grievance-procedures-employee-postdoctoral-fellows-policy.pdf>
- Tuition Assistance Policy  
<https://benefits.usg.edu/work-life/tuition-assistance-program-policy/>

### **Legal Office**

- Individual Conflict of Interest Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/individual-conflict-interest-policy.pdf>
- Institutional Conflicts of Interest Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/institutional-conflict-of-interest-policy.pdf>
- Negotiation and Execution of Contracts Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/negotiation-execution-contracts.pdf>

### **Office of the Provost**

- Data Management and Classification Policy  
<https://www.augusta.edu/services/legal/policyinfo/policy/data-management-classification.pdf>

### **Research**

- Authorship of Scholarly Activities  
<https://augustauniversity.app.box.com/file/366721858672?s=fw4ig8syen1rduufebtykvaz6ijbdfzy>
- Intellectual Property Policy  
<https://augustauniversity.app.box.com/file/366722084308?s=8c3nqmp6ky530da44k1fu7rlu920ptqk>
- Augusta University Policy for Responding to Allegations of Research Misconduct

<https://www.augusta.edu/services/legal/policyinfo/policy/policy-for-responding-allegations-of-research-misconduct.pdf>

- Human Stem Cell Research (HSCR) Committee  
<https://augustauniversity.app.box.com/file/315122222725>

### **Institutional Animal Care and Use Committee (IACUC) Policies**

- Rodent Euthanasia Policy (Available only to AU employees)  
<https://augustauniversity.app.box.com/file/250918094828?s=ojehsng39tpyr3b6bus9qdlubhoma7>
- Transportation of Animals (Available only to AU employees)  
<https://augustauniversity.app.box.com/file/941081891649?s=01yurhwjl1gan46ii36e2ox819bzip9wg>
- Testing of Injectable Materials for Rodent Pathogens (Available only to AU employees)  
<https://augustauniversity.app.box.com/file/251216799408?s=97v47gulmongrjl6ef5o1j2lcc7xablj>

### **Institutional Review Board Policies**

#### **Human Research Protection**

- AU Relying on External IRB under a Reliance Agreement  
<https://augustauniversity.app.box.com/file/747822341874?s=fyrbwyw141b7o27y4iamhtd19mukainr>
- AU Serving as the IRB of Record  
<https://augustauniversity.app.box.com/file/719995244849?s=wd7sf72q0009to8nbo2kamkv1riwe08>
- Human Research Protections Program (HRPP) Overview  
<https://augustauniversity.app.box.com/s/syrr4jw6lidq80i2mdc11a920j9jmkbf>

### **Division of Sponsored Program Administration Research Policies**

- Clearing Unallowable Expenses Policy  
<https://augustauniversity.app.box.com/file/366718564610?s=ezh9yx12elpd4sw5i5sjlin4j5zkth1>
- Policy on Cost Sharing or Matching  
<https://augustauniversity.app.box.com/file/366717927823?s=8siy58tpm8ihobi9m1ffanblevojdnx>
- Direct Charging Policy  
<https://augustauniversity.app.box.com/file/366732651782?s=czs0s5vlzmp476xbwyeo8tpxnv0mmh2a>
- Effort Reporting Policy  
<https://augustauniversity.app.box.com/file/366718323393?s=3j57v6qc6ly4wkuwgv2ww8zeg20tso>
- Facilities and Administrative Cost Policy

<https://augustauniversity.app.box.com/file/366717811634?s=whycjohl71tpocce2zmkwal970uqayki>

- Approval, Continuation, and Termination of Research Centers and Institutes  
<https://augustauniversity.app.box.com/file/857323212648?s=nfxd8kzgrewqx7eomn9otuslz6u8w568>
- Cost Transfer Policy  
<https://augustauniversity.app.box.com/file/366718017441?s=yw95kv2y0cwbh6b2yuv6kth41cb0xndt>
- Residual Funds  
<https://augustauniversity.app.box.com/file/366717872989?s=laedqnuyvn1tzsr1ho8j8mnaig2rwejm>
- Program Income  
<https://augustauniversity.app.box.com/file/869834654959?s=rgvtrq6nk4hdrc8oc7t1y6qa8bvu8966>
- Institutional Review of Extramural Proposals  
<https://augustauniversity.app.box.com/file/366728647496?s=liyp3tt3peb21cdfrgb6x94hkalihlz3>

## **RELATED POLICIES**

Intentionally left blank.

## **APPROVED BY:**

Executive Vice President for Academic Affairs and Provost, Augusta University

Date: 8/18/2022

President, Augusta University

Date: 8/18/2022