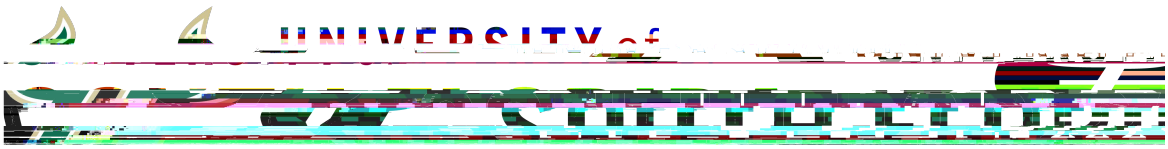

USF Research
Roles and Responsibilities

Last update: September 5, 2024

USF Research Roles and Responsibilities
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Principal Investigator (PI) Pages 1-8

Co-Principal Investigator (Co-PI)

USF Research Roles and Responsibilities

Principal

USF Research Roles and Responsibilities Principal Investigator (PI)
Internal Form
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.

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.

USF Research Roles and Responsibilities

Principal Investigator (PI)

Material Transfer Agreements

If using biological materials from another source, the Principal Investigator initiates a Material Transfer Agreement (MTA), which will be prepared by W K7HH F K Q R O R J \ 7 U D Q7V7I2MTDAs2 I I L F H that are received by the Principal Investigators should be sent directly to 7 7 2 for review, negotiation, and final execution with the sponsor.

Budget Management

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. 385sre W* n BT 411.94 403.84 Td ( )Tj ET Q q 7(

USF Research Roles and Responsibilities
Principal

USF Research Roles and Responsibilities Principal Investigator (PI)
Assist 7 H F K Q R O R J \ in pubDeSsvng Hicensing agreements.
Project Closure
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.
Regulatory Compliance
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

USF Research Roles and Responsibilities

Co-Principal Investigator (Co-PI)

USF Research Roles and Responsibilities

Administrative Staff

General

Administrative Staff at the Unit and ' H D QOffice 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.).

Proposal Preparation & Submission

Assist with the preparation of a grant proposal to meet Sponsored Research proposal subm n /P <</ 0 09

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

USF Research Roles and Responsibilities

Unit Head

General

A Unit Head is an academic l06 575.26 Head

USF Research Roles and Responsibilities Unit Head
Proposal Regulatory Requirements

Participate in awareness and certification programs which address research

USF Research Roles and Responsibilities Unit Head
Conduct of the Project
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

USF Research Roles and Responsibilities

Unit Head

Program Income

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 &

USF Research Roles and Responsibilities Dean's Office
Internal Form

Review the Internal Form and the proposal to ensure that the project is in line

USF Research Roles and Responsibilities Dean's Office
Approve the expenditure of matching hard dollars.

USF Research Roles and Responsibilities

Vice President for Research and Innovation

General

The Vice President for Research and Innovation 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 Vice President for Research and Innovation promotes a University environment that encourages and supports research productivity, maximizing faculty expertise and University resources. In addition, the Vice President for Research and Innovation is responsible for patents and technology marketing arising from inventions by University employees.

The Vice President for Research and Innovation 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.

Proposal Preparation & Submission

USF Research Roles and Responsibilities Vice President o l Research Innovation
Conduct of the Project
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): ‡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.

Oversee

USF Research Roles and Responsibilities Vice President o I Research Innovation
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

USF Research Roles and Responsibilities

Sponsored Research

USF Research Roles and Responsibilities Sponsored Research
Identify the need for subcontracts.
Identify the need for space and facilities.

USF Research Roles and Responsibilities Sponsored Research
Internal Form

USF Research Roles and Responsibilities Sponsored Research
Acceptance of the Award
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.
Conduct of the Project
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

USF Research Roles and Responsibilities Sponsored Research
Budget Management
Review and approve certain rebudgeting requests.
Identify sources of cost sharing with award documentation, when possible.
Approve carry forward requests, if necessary.
Program Income
Identify use and reportability of program income.
Designate an account number and forward the information to Sponsored Research.
Effort Reporting and Certification
Collaborate with Sponsored Research to manage effort reporting issues and processes.
Intellectual Property
Provide information to 7 H F K Q R O R J \ w h i c h p r e p a r e s a report of the invention to the sponsor for federal continuation awards.

USF Research Roles and Responsibilities

Sponsored Research

Project Closure

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USF Research Roles and Responsibilities Sponsored Research Post Award
General
Sponsored Research Post Award invoices and compiles required financial reports for sponsors.
Overhead accounts.
NSF expenditure surveys.
The 8 Q L Y H U V L W \ ' L U H F W R U ([H F X W L Y H V proposal.
Coordinate activities involving shared responsibilities with other university offices.
Establishing an Account
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.
Budget Management

Prepare and

USF Research Roles and Responsibilities

USF Research Roles and Responsibilities

Research Integrity & Compliance

General

Research Integrity & 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.

Research Integrity & Compliance provides educational and certification programs for researchers that qualify them to conduct research at USF.

The Director of Research Integrity & Compliance reports to the Sr. Associate Vice President for Research and Innovation is a member of the Research and Innovation Sr. Leadership Team.

Proposal Preparation

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

Provide educational awareness and certification programs for researchers that qualify them to conduct research at USF.

Provide support to the Institutional Review Boards (IRB), which are responsible for evaluating and

USF Research

USF Research Roles and Responsibilities

Comparative Medicine

General

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

USF Research Roles and Responsibilities 7 H F K Q R O R J \ 7 U D Q V I H U
General
7 H F K Q R O R J \ 7 U D Q V I H U is the University's 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 Vice President of 5 H V H D U F K D Q G ,Q Q R Y D W L R Q and is a member of the Research and Innovation Sr. Leadership Team.
Proposal Preparation & Submission
Prepare or review contracts between the University and external sources with respect to the protection of intellectual property.
Intellectual Property

Provide

USF Research Roles and Responsibilities 7 H F K Q R O R J \ 7 U D Q V I H U
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.

USF Research Roles and Responsibilities

USF Research Foundation

General

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 Vice President for Research Innovation and is directed by a Board, of which the Executive Vice President and Chief Financial Officer, is the President.

Establishing the Account

USF Research Roles and Responsibilities

USF Research Foundation

Provide financial reports to the sponsor as required and notify the Principal Investigator when reports are due

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USF Research Roles and Responsibilities

Environmental Health and Safety

General

Environmental Health, Safety & 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

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.

USF Research Roles and Responsibilities

Business & Finance, University Controller § Office

General

The Associate Vice President for University Services oversees the University Controller's Office, Purchasing and Property Office.

Acquisition Services

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 & R P S W U Office O H U ¶

Budget Management

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

USF Research Roles and Responsibilities 2 I I L F H R I , Q W H U Q D O
General
2 I I L F H R I , Q W H U Q D O 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 8 Q L Y H U 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