

## UNIVERSITY RULES

### [Related to Research](#)

#### (Board of Trustees)

Rule #	Topic	Summary
<a href="#">3361:10-5-10</a>	VP for Research	VPR's responsibilities: SRS, UCTAC, Research Integrity, URC, HRPP and the fellows of the graduate school
<a href="#">3361:10-17-03</a>	Conduct & Ethics	UC Code of Conduct and Ethics, including conflict of interest, compliance and research integrity
<a href="#">3361:10-17-04</a>	Conduct & Ethics: Use of University Resources	Responsibilities for the appropriate use of university resources.
<a href="#">3361:10-17-05</a>	Research Misconduct Investigation	Research Misconduct: definitions, administrative action, Allegations, criteria, initial inquiry, investigation process, investigation report and external review.
<a href="#">3361:10-17-08</a>	Conflict of Interest	UC's Conflict of Interest: rationale, scope, reporting, training, committee, VPR's designee, appeal, and federal compliance.
<a href="#">3361:10-17-09</a>	Conduct and ethics	Employee Financial Interests in Private Companies that are Commercializing University Discoveries, Inventions or Patents
<a href="#">3361:10-17-10</a>	Ethical Conduct in Research Involving Human Subjects	Role of IRB and IRB process/procedures
<a href="#">3361:10-17-11</a>	Conduct and Ethics: Export Control	Roles and responsibilities of university faculty, staff, students, volunteers, and visitors to facilitate compliance with the United States Export Control Regulations
<a href="#">3361:10-30-01</a>	Export Controls	Export Controls in SRS: definitions and policy
<a href="#">3361:10-30-02</a>	Publication restrictions	Publication restrictions in SRS
<a href="#">3361:10-30-03</a>	Sensitive, Unclassified Research	Policy on sensitive but unclassified research: applicability, background, requirement for approval and additional conditions
<a href="#">3361:10-30-04</a>	Policy on Classified Research	Responsibilities of university of Cincinnati faculty and staff, students, volunteers, and visitors involved in classified research

<a href="#"><u>3361:30-21-01</u></a>	Employment: Reporting Outside Activities and Interests	All full time university employees, and such part time employees as the president or the president's designee shall direct, shall complete an OAR not less than annually and whenever there is an addition or change in reportable outside activities.
<a href="#"><u>3361:30-21-02</u></a>	Employment: Collateral employment	Collateral employment for policy for all employees
<a href="#"><u>3361:30-21-03</u></a>		

\*All Board Rules can be found here: <https://www.uc.edu/about/trustees/rules.html>.

## UC RESEARCH POLICIES

### 1.3.2 Conflict of Interest on Externally Funded Projects

The purpose of this policy is to assure that the objectivity and integrity of the researcher, the University of Cincinnati (UC), and academic research, training, or other activities are not compromised or perceived to be compromised by matters of financial benefit or personal gain. The policy provides the university's approach to identifying individual financial relationships, evaluating, and determining potential financial conflicts of interest related to research activities as well as developing strategies to manage conflicts. This policy assists faculty, staff, and students in meeting their obligations to conduct research responsibly, ethically, and objectively and to comply with applicable federal, state, and local regulations and university rules and policies.

### 1.3.5 Institutional Conflicts of Interest in Research

The University of Cincinnati values the advancement of research and the external relationships that support it. Decisions concerning research must not be unduly influenced, in appearance or in fact, by an Institutional Financial Interest. The university must balance competing pressures that might result from industry relationships with the university or with University Officials. These relationships might benefit the university in a variety of forms, including gifts, business ventures, royalty payments, equity from licensing intellectual property, and sponsored agreements. An ICOIR might arise in the normal course of university research activities. This policy supplements the individual conflicts of interest policy that applies to all university personnel.

### 1.3.9 Reviewing Allegations of Research Misconduct

This Policy on Reviewing Allegations of Research Misconduct (the "Policy") is intended to implement Board Rule 3361:10-17-05, Conduct and ethics: research misconduct (the "Rule") and applies to all forms of scholarly research conducted by University of Cincinnati ("UC") faculty, staff, students, and volunteers under the auspices of UC, regardless of funding amount or source.

### 1.9.1 Research Animal Acquisition

This policy addresses the responsibilities for individuals and departments involved in procuring research animals on sponsored projects.

### 1.9.3 Affiliated Faculty acting as Principal Investigators on Sponsored Awards

Within the university, there are Affiliated Faculty who are employees of another organization but have duties and privileges within the university (e.g., College of Medicine) and at times perform work on

sponsored awards under the purview of the university. Affiliated Faculty are not employees of the university. Most external sponsor regulations do not prohibit non-employees from acting as Principal Investigator on an award; however, there are restrictions to such arrangements. The following policy helps ensure that the university is compliant with all relevant policies and regulations regarding such relationships. This policy will apply to all sponsored program submissions issued on or following the effective date of the policy.

#### [1.9.10 Individual Investigator Use of Controlled Substances in Non-Therapeutic Research](#)

This policy does not apply to controlled substances used in research involving the use of human subjects by researchers who are licensed healthcare practitioners in the State of Ohio and hold current DEA registrations. Further, this policy does not apply to controlled substances used in veterinary care by veterinarians licensed in the State of Ohio who hold current DEA registrations for veterinary use. Investigators who seek to obtain a research or instructing registration for use of controlled substances in animal or laboratory research must first notify their college (the chief research officer for the college, e.g., Associate Dean for Research as well as the head of their unit) prior to registering with the Ohio Board of Pharmacy and/or the DEA.

#### [1.9.11 Departure or Absence of Faculty Principal Investigator](#)

To ensure compliance and safety the Office of the Vice President for Research (hereafter OoR) must be promptly notified whenever a Principal Investigator is unable to oversee work occurring under their authorizations and/or funding regardless of the reason. The Department Head shall notify OoR and College Leadership at least 30 days prior to a Principal Investigator's (PI) prolonged absence or departure. In the case of unplanned or emergency absences, notifications shall be made as soon as possible.

#### [1.9.12 Controlled Unclassified Information in Research](#)

This research policy outlines requirements for receiving, collecting, developing, handling, storing, processing, and maintaining information that falls into at least one of the Controlled Unclassified Information (CUI) registry categories, as listed on the National Archives and Records Administration (NARA) website. University employees and students who access CUI for research must safeguard this information as outlined by the National Institute of Standards and Technology (NIST) "Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations" standards (NIST 800-171), NARA, applicable Presidential Executive Orders, and contract clauses. NIST 800-171 defines the requirements for the protection of CUI data to reduce or eliminate inappropriate release of CUI. NARA provides all other pertinent information needed to properly handle CUI. These standards include physical and information technology (IT) security controls including access control, physical security standards, and IT system security.

#### [1.9.13 Insider Threat Plan](#)

This plan establishes policy and assigns responsibilities for the University of Cincinnati (UC) Classified Insider Threat Program (CITP). The CITP will establish a program to gather, evaluate and report relevant and credible information that may be indicative of a potential or actual Insider Threat.

#### [1.9.14 Approval of Classified Research Policy](#)

This policy is to provide implementing guidance for the approval and conduct of Classified Activities at the University of Cincinnati.

### [2.1.11 Facilities and Administrative Proposal Guidelines, Distribution of Revenue, and Use of Funds](#)

In 1947, the federal government realized that in order to have a successful university-based research infrastructure that supported federally funded research programs, institutions incurred indirect costs involving support of facilities and administration beyond the obvious direct costs of actually performing the research. This additional “indirect” cost has been supported by the federal government since that time. Indirect costs are also called “Facilities and Administrative” or F&A costs. Besides supporting the institutional costs, the university made the decision some time ago to allocate a portion of the F&A reimbursement to the deans and their departments based on the amount of F&A brought in by grants in their programs, to support the research infrastructure required at the college and department level.

### [2.1.14 F&A Return for Multiple PIs](#)

This policy defines the appropriate establishment of multiple accounts under a single sponsored project and how multiple organizational units/colleges can recover the return on F&A costs.

### [2.1.18 Fringe Benefit Rates for Sponsored Projects](#)

*Code of Federal Regulations Title 2, part 200* allows an institution to charge employee salary and fringe benefits to sponsored programs when the costs can be identified to a particular project. Fringe benefits can be calculated and charged based on the cost of each employees benefits or by an institution-wide allocation. UC has elected to use the institution-wide allocation method.

### [2.1.19 F&A Rates for Sponsored Projects](#)

Costs charged to sponsored programs consist of two categories: direct costs and indirect costs. Direct costs are easily assigned to a specific sponsored project and paid by its direct grant funding. By contrast, “F&A costs are those that are incurred for common or joint objectives, and therefore cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity.” F&A costs are those involving resources used mutually by different individuals and groups, making it difficult to assess precisely who should pay what share.

### [2.1.20 Effort Commitment on Sponsored Projects](#)

UC is required by federal regulations to ensure that effort commitments, in proposal applications, are reasonable and conform to sponsor and university expectations. If a proposed project is funded, the university must assure the sponsor that any effort proposed will be effectively managed according to sponsor requirements and university policy. In addition, the university must assure the sponsor that the amount of time worked on the project is at least equal to the salary charged to those projects.

### [2.1.21 Labor Verification on Sponsored Projects](#)

Government agencies, private foundations, industry and other sponsors provide significant finding that enables UC to conduct research, public service and training projects. A primary use of such funds is to support the salaries of faculty and staff engaged in sponsored activities. This policy addresses the university’s effort or labor verification system established to meet regulatory requirements for the planning, confirmation, and certification of effort associated with sponsored projects. It applies to all individuals whose salaries are charged to sponsored projects, in whole or in part, and to all individuals involved in verifying the effort of other individuals.

### [2.1.22 Allowability, Reasonableness and Allocability of Costs for Sponsored Projects](#)

When UC accepts an award from a sponsor in support of a specific program or project, it is required to

manage those funds prudently to ensure that any costs incurred directly benefit the project accounts being charged. The cost principles relating to expenditures on federal awards are contained in *Title 2, Part 200 of the Code of Federal Regulations*. These cost principles require that any expense charged to a federally sponsored project be reasonable and necessary, allocable, consistently treated, and conform to any limits or exclusions set forth in 2 CFR part 200 or the terms and conditions of the award.

#### [2.1.23 Cost Transfers on Sponsored Projects](#)

This policy addresses the conditions and procedures under which corrections or cost transfers on sponsored projects are allowed.

#### [2.1.24 Service Centers](#)

UC recognizes the need for certain internal organizational units to charge for the services or products those units provide to university users. This policy specifies the applicable manual for service center administration.

#### [2.1.32 Sales & Service Funds](#)

The University of Cincinnati recognizes that some organizational units are able to sell goods and/or services to customers outside the university community. Sales and Service funds are established to handle the financial transactions resulting from these sales. The purpose of this policy is to define the purpose of and set limits for the use of Sales and Service funds.

#### [2.1.36 On Campus vs Off Campus F&A Rate Application](#)

The University of Cincinnati negotiates multiple Facilities and Administrative (F&A) Rates with the federal government, including rates for Organized Research, Instruction, and Other Sponsored Activity. Within each of these categories, separate rates are also negotiated for use with projects performed On-Campus versus those performed Off-Campus.

#### [2.1.37 Payments to Research Study Participants](#)

University research projects may require the participation of human subjects. Often, these individuals receive payments - in the form of cash, cash equivalents, or non-cash items - for their participation. Federal regulations require that investigators seek consent from participants in these studies in ways that minimize the possibility of coercion or undue influence. To ensure payments do not constitute coercion or undue influence, the University of Cincinnati Institutional Review Board (IRB) must approve all forms of payments to participants. Principal Investigators (PIs) and other faculty/staff members who are conducting funded research are responsible for ensuring that subjects are eligible to receive payments (in accordance with U.S. tax and immigration laws) and for ensuring that the payment process is appropriate. This document provides important information regarding paying human subjects for their participation in research projects. Generally, the same procedures apply whether subjects are paid from sponsored projects or from department funds. All references to "year" mean a calendar year. Note: This policy is intended for the purpose of informing employees and other University of Cincinnati-affiliated individuals about relevant tax issues. This policy does not constitute legal or tax advice. Individuals should consult with their attorneys or tax professionals for advice on personal issues.

#### [2.1.39 Financial Management of Large Dollar Sponsored Programs](#)

Sponsored Research Services within the Office of Research acts as the official representative of the University for all Sponsored Programs. All Sponsored Programs have a Principal Investigator or Program

Director (PI/PD) who is primarily responsible for the activities of the Sponsored Program and who manages its day-to-day activity. Sponsored Programs are assigned to the unit that employs the PI/PD, and that unit provides administrative support to the PI/PD to process purchases, assign employees to the project, review ledgers, and perform all other necessary administrative tasks to manage the finances of the Sponsored Program. While this process works well for most Sponsored Programs, Large Dollar Sponsored Programs can present greater challenges and financial risk to the University. Units that are experienced in the management and administration of Sponsored Programs may have the capability to effectively manage most awards; however, at times a unit with limited experience, or an award of exceptional size and complexity, may require additional resources to assist with management. In order to properly evaluate these issues, all Large Dollar Sponsored Program proposals must be reviewed by the Associate Vice President for Research Operations (or functional equivalent) before they may be submitted to a sponsor.

\*Other University Policies can be found here: [UC Policies - About UC | University of Cincinnati](#).

\*\*Other helpful research documents can be found on [Research How 2](#).