



## The University of Toledo - Main Campus Policy

### III-2

### Policies

#### III-2-1 ARTICLE I Externally Sponsored Programs

##### **Section 1. Eligible Participants**

Generally tenure-track faculty members may develop and submit proposals for externally funded programs. Under certain circumstances, non-tenure track faculty members with special appointments and some full-time staff members in leadership positions may also qualify as Principal Investigators, Project Directors or Co-Investigators.

##### **Section 2. Requests to external agencies**

All requests to external agencies in support of sponsored program activities must be submitted through the University Office of Research with formal endorsement by appropriate University officials. Recipient may be the University, the University of Toledo Foundation or the individual Investigator, depending on the policy of the awarding entity.

##### **Section 3. Gifts for Research**

Requests to philanthropic foundations and other entities for gifts to support faculty research will be subject to formal endorsement by appropriate University officials, including the Office of Development. Such requests will be submitted through the University Office of Research in cooperation with the Office of Development. Any gift supporting research programs which deal with human subjects, clinical trials, animal experimentation, or hazardous materials, must have approved protocols through the appropriate review committees. The University Office of Research must review and approve all such projects before proposals are submitted by the Development Office to a private or corporate source on behalf of the UT Foundation.

Under usual procedures, the gift would be received by the University of Toledo Foundation, which would accept the gift on behalf of the University and subsequently transfer the funds to an account that could be used by a faculty member. This is acceptable under the following conditions:

There are no deliverables required by the entity that provided the gift. Examples of deliverables include data, data analysis, computer code and materials.

The research or activity does not entail any unmanaged risks or liabilities for individuals or the University.

The research or activity does not incur uncompensated facilities and administrative costs for the University, beyond those minimal costs associated with, for example, processing of purchase orders and minimal use of facilities.

Real examples of acceptable use of gifts for research include a gift to a faculty member for unrestricted travel for professional development and a gift to a faculty member for supplies to engage undergraduate students in research. In neither instance were there deliverables to the companies that provided the gifts or unmanaged risks or liabilities. Only minimal facilities and administrative costs were incurred.

On the other hand, complex projects that require deliverables, substantial risk management and incur more extensive facilities and administrative costs must be submitted as proposals endorsed by the University and received as gifts to the University.

#### **Section 4. Acceptance of awards**

Awards for a sponsored program activity must be formally accepted by the University of Toledo Board of Trustees before program initiation.

#### **Section 5. Facilities and Administrative Fees**

The University will recover Facilities and Administrative Fees (formerly called indirect costs) on all programs sponsored by federal agencies at the rate currently negotiated with its cognizant federal agency, the Department of Health and Human Services, except as officially prohibited or limited by agency policies for specific programs. F&A costs affixed to all projects sponsored by non-federal agencies will be recovered at the same rate as that for federal agencies, or at a rate negotiated with the non-federal agency by the University Office of Research staff.

#### **Section 6. Sponsored Program Agreements**

Sponsored program agreements will be negotiated between the University Office of Research staff and the external agency in consultation with the faculty investigators. The terms of those agreements will be binding on all University participants, including faculty, students and staff, in the project.

#### **Section 7. Support of Graduate Students**

The University recognizes and affirms the importance of the research enterprise to the training of graduate students. To this end preference will be given to the support of graduate students over other research staff in sponsored program activity. Further, in support of strengthening the interface between faculty research and graduate education, the Graduate School will provide instructional fees for graduate students supported by external grants. In cases where the sponsor completely supports a graduate student, matching support of a graduate student may be provided at the discretion of the Graduate School and the Office of Research.

**Section 8. Proprietary Research and Testing**

Proprietary research and testing will be undertaken with careful consideration of the rights of faculty to publish their results, the University to file patents and students to complete their degree requirements. Completion of degree requirements by students shall not be delayed by their participation in proprietary research and testing. Publication of research results shall not be unduly delayed.

**Section 9. Open Competition**

It is the policy of the University to disseminate widely any information concerning competitive programs including programs to which the University may only submit a limited number of proposals. All interested individuals and groups of investigators will be invited to participate in internal competitions, from which University-endorsed proposals will be selected for support.

*Adopted by the UT Board of Trustees*