



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

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Administrative
SUBMITTING AND ACCEPTING
SPONSORED PROJECTS
Adopted: February 9, 2007
Supersedes: (see end of policy)

SUBMITTING AND ACCEPTING SPONSORED PROJECTS

SECTION I. SCOPE.

This policy identifies the circumstances under which University of Minnesota (University) faculty, staff, and students shall be eligible to submit proposals for sponsored projects and the conditions under which the University will accept such awards.

SECTION II. DEFINITIONS.

Subd. 1. Principal Investigator. *Principal investigator* shall mean the individual or individuals primarily responsible for and in charge of a sponsored project.

Subd. 2. Eligible Academic Professional and Administrative Employees. *Eligible Academic Professional and Administrative Employees* (P&A employees) shall mean employees whose primary position at the University is classified within the 93XX, 96XX, or 97XX series.

Subd. 3. Regular Faculty. *Regular faculty* shall mean a faculty member with a tenure or probationary appointment.

Subd. 4. Sponsored Project. *Sponsored project* shall mean a project funded with grants, contracts, and/or cooperative agreements, including, but not limited to, training, public service, research, and cooperative projects.

Subd. 5. Term Faculty. *Term faculty* shall mean a faculty member with an appointment for a specified length of time.

SECTION III. DELEGATION OF AUTHORITY.

Subd. 1. Sponsored Project Proposals. The president or delegate has the responsibility to approve sponsored project proposals, exercising appropriate judgment regarding the applicant's ability to provide the necessary scientific/technical leadership and administrative/financial management of the project. Only the president or delegate may exercise this authority; individuals eligible to serve as principal investigators may not directly submit proposals to prospective sponsors.



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Subd. 2. Sponsored Project Acceptance. The president or delegate has the responsibility to accept sponsored projects on behalf of the Regents of the University of Minnesota.

SECTION IV. SPONSORED PROJECT PROPOSAL REQUIREMENTS.

Subd. 1. Approval Requirements. Proposals may be approved for submission only if:

- (a) the applicant is eligible to serve as a principal investigator as specified in subd. 2 below;
- (b) the president or delegate has approved the applicant as principal investigator on the proposal;
- (c) adequate space is available to house the project; and
- (d) resources judged to be sufficient to conduct and complete the project are available.

Subd. 2. Principal Investigator Eligibility Requirements. The following criteria specify the minimum standards for approval as a principal investigator. These minimum standards must be incorporated into department or collegiate policies and procedures, but units may develop additional or more restrictive standards regarding this matter.

- (a) Automatically Eligible Individuals – The following individuals shall be automatically eligible to serve as principal investigators:
 - (i) regular faculty; and
 - (ii) emeriti faculty.
- (b) Other Eligible Individuals – The following individuals may be eligible to serve as principal investigators if they adhere to policies established by the unit in which they are an employee or student and if they meet funding source criteria, which must be compatible with the University's standards:
 - (i) term and non-regular faculty and other academic employees, such as P&A employees;
 - (ii) individuals with graduate student/professional training status; and
 - (iii) employees with non-academic titles, in unusual circumstances.



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(c) Training Requirements – Principal investigators must complete all training required by the sponsor and the University.

SECTION V. PRINCIPAL INVESTIGATOR STATUS.

Subd. 1. Relationship to the University. An individual's University appointment document shall govern the relationship of a principal investigator to the University. Principal investigator status does not imply a University commitment to any subsequent appointment beyond the term of appointment then in effect, nor does it alter the standing of individuals with graduate student/professional training status or commit the University to their future employment.

Subd. 2. Voluntary Termination of Principal Investigator Relationship with University. Should the principal investigator, of whatever title, leave the University prior to completion of the project, the future of that project shall be governed by the terms of that grant/contract agreement, the wishes of the sponsor, or negotiations among the sponsor, the University, and the principal investigator, as appropriate to specific circumstances.

Subd. 3. Rescission. An individual's status as a principal investigator may be rescinded for just cause during the term of the grant/contract agreement, but the individual may appeal the decision in accordance with applicable University policies and procedures.

SECTION VI. SPONSORED PROJECT ACCEPTANCE.

Subd. 1. Acceptance. To be accepted, sponsored projects must adhere to applicable Board of Regents (Board) policies and administrative policies and procedures.

Subd. 2. Ownership. Grants and contracts for sponsored research and training projects are awarded to the University rather than to individual investigators.

SECTION VII. REPORTING.

The following information shall be reported to the Board:

- (a) Quarterly – Report on grants and contracts received during the quarter.
- (b) Annually – Report on the status of the University's research, including sponsored project activity.



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- (c) Ad hoc – Report on significant individual grants and contracts on an ad hoc, but timely basis. Significant grants are those that represent more than 2 percent of the prior year’s externally funded research expenditures or that would have a substantial impact on the academic plan or budget of the University.

SUPERSEDES: PRINCIPAL INVESTIGATOR ELIGIBILITY ON SPONSORED PROJECTS DATED NOVEMBER 12, 1999 AND SPONSORED GRANTS AND CONTRACTS DATED DECEMBER 11, 1992.