

## Policies and Procedures

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### 1. POLICY

Finding and sustaining funding for research and sponsored programs is a collaborative effort, but the Principal Investigator/Project Director is ultimately responsible for developing the idea and/or leading the project team through program planning, writing the proposal, and administering the project once funds are awarded. Sponsored Programs Administration and department or unit administrators provide administrative support to faculty seeking funding and grants management support once an award has been made. Grants Accounting assists investigators with financial management issues once an award has been made.

### 2. PRINCIPAL INVESTIGATOR/CO-PRINCIPAL INVESTIGATOR/ PROGRAM/PROJECT DIRECTOR

Grant administration is a joint effort between the Principal Investigator/co-Principal Investigator/Project Director and Creighton University. The Principal Investigators/co-Principal Investigators/Project Directors are responsible for the ethical conduct of the research study, the overall scientific and technical quality of individual projects conducted under their auspices, as well as compliance with the financial and administrative policies and regulatory requirements associated with the award.

Principal Investigators/co-Principal Investigators/Project Directors are wholly responsible for the accuracy of information provided in an application, for the scientific and intellectual direction of their project if awarded, and for the timely submission of all required technical, progress, invention, and financial reports.

Principal Investigators/co-Principal Investigators/Project Directors may have administrative staff assist them with the management of project funds; however, the ultimate responsibility for the management of the sponsored research project work and funds rests with the Principal Investigator/co-Principal Investigators/Project Director. In order to carry out their responsibilities effectively, Principal Investigators/co-Principal Investigators/Project Directors should meet with their department/school administrators to review their research portfolios in a timely manner.

The fundamental responsibilities for the Principal Investigator/co-Principal Investigator/Project Director during the post-award phase of a sponsored research project include executing the project as outlined in the funded proposal; using sound management techniques; authorizing only those expenditures that are reasonable and necessary to accomplish the project goals and are consistent with the sponsor's terms and conditions; reporting project progress to the sponsor as outlined in the terms of the award; reviewing expenditures in a timely fashion to ensure their appropriateness and correctness; complying with all Creighton University policies and

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procedures related to project management and personnel practices; and complying with all applicable sponsor rules, regulations, and/or terms and conditions of the award.

### **3. CO-INVESTIGATOR(S)**

A co-investigator may perform all or some of the functions of the Principal Investigator, but they do not accept primary responsibility for the research study. The co-investigator is under the supervision of the Principal Investigator and is responsible for performing study-related procedures and/or making important study-related decisions in compliance with the ethical conduct of the study and with regulatory requirements.

### **4. RESEARCH STAFF**

While the Principal Investigator is ultimately responsible for the proper implementation of the research, many of the day-to-day tasks are delegated to other members of the research team. Each member of the research team is expected to meet the ethical and regulatory requirements for conducting research.

### **5. DEANS, DIRECTORS AND DEPARTMENT CHAIRS**

Department chairs have a general responsibility for promoting the scholarly and research activities of their departments, as well as fostering sound stewardship of funds. They review applications for research projects for appropriateness, ensuring that the personnel, fiscal, and space demands of all such projects are in the best interests of both their departments and the University as a whole. School deans or division directors have the same responsibilities for their respective schools or divisions.

### **6. AUTHORIZED OFFICIAL FOR GRANT APPLICATIONS**

Many sponsors require the signature of an authorized institutional official to submit an application or to formally accept the terms and conditions of an award. Sponsored Programs Administration is responsible for obtaining the appropriate institutional signature.

### **7. AUTHORIZED OFFICIAL FOR CONTRACTS**

All contracts require an authorized institutional official to formally accept the terms and conditions of the contract. Investigators are cautioned not to sign Creighton University agreements for sponsored support, patents or copyright licenses, biomaterials, equipment loans, materials transfer, or clinical trials. These agreements bind the University to certain obligations

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and, as such, can be signed only by those who have delegated signature authority from the President of Creighton University. Sponsored Programs Administration is responsible for obtaining the appropriate institutional signature.

### 8. ASSOCIATE VICE PROVOST FOR RESEARCH AND SCHOLARSHIP

The Associate Vice Provost for Research and Scholarship has a general responsibility for promoting the scholarly and research activities of the University, as well as fostering sound stewardship of research funds. In addition, he or she reviews applications for research projects, ensuring that the personnel, fiscal, and space demands of all such projects are in the best interests of Creighton University as a whole.

### 9. DEPARTMENT ADMINISTRATORS

Department Administrators coordinate with Principal Investigators, school administration, and Sponsored Programs Administration personnel to provide financial and administrative support for one or more sponsored projects.

At the time of proposal preparation, the duties of the department administrator include, but are not limited to, the following:

- 9.1. Assisting with the preparation of budgets
- 9.2. Preparing current and pending support information
- 9.3. Preparing or coordinating the development of necessary biosketches
- 9.4. Verifying availability of space and other resources to conduct the work
- 9.5. Verifying with the Principal Investigator/Project Director that the proposed scope of work can be completed given the proposed funding levels
- 9.6. Coordinating with other departments to obtain verification and approval for non-departmental personnel involved on a project
- 9.7. Coordinating documentation for subcontracts and/or consultants
- 9.8. Assisting the Principal Investigator/Project Director in complying with any relevant special reviews

Department administrators are also responsible for the administrative aspects of a sponsored project and are key individuals in the management of a sponsored project. While the University places the prime responsibility for all aspects of the conduct of the sponsored project on the Principal Investigator/Project Director, the department administrator may be the most involved in the day-to-day administrative operations of the project. While the Principal Investigator/Project Director may delegate some responsibility for the management of finances or other tasks to

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departmental and school business staff, the Principal Investigator/Project Director remains accountable for compliance with University policy and sponsor requirements.

### 10. SPONSORED PROGRAMS ADMINISTRATION

Sponsored Programs Administration is responsible for protecting the interests of Creighton University by ensuring compliance with sponsor rules and regulations and Creighton University policies and procedures. Sponsored Programs Administration assists faculty with searches for funding opportunities, proposal development, grant editing, statistical support, budget preparation, routing proposals for University official approvals, electronic proposal submission, negotiating and accepting grant awards and depositing checks related to the award, coordinating the establishment of restricted funds, progress report submission, and grant closeout. During the term of the award, Sponsored Programs Administration is responsible for submitting to the sponsor any requests from the Principal Investigator that require sponsor approval.

### 11. GRANTS ACCOUNTING (ACCOUNTING SERVICES)

The primary responsibilities of Grants Accounting during the post-award phase of a sponsored research project include, but are not limited to, providing post-award financial administration support to Principal Investigators and Department Administrators; preparing grant-related invoices; preparing annual and closeout financial reports to sponsors in collaboration with Principal Investigators/Department Administrators; overseeing the effort reporting function; and coordinating government, private sponsor, and public accounting firm audits.