

**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="#">3361:10-17-05</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="#">3361:10-17-10</a>	Ethical Conduct in Research Involving Human Subjects	Role of IRB and IRB process/procedures
<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

\*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.

### [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 employee's 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 funding 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.

\*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](#).