Office of Research and Sponsored Programs
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Investigator Handbook

Policy Statement

This policy outlines the roles, responsibilities, and expectations throughout the grant lifecycle for Principal Investigators (PIs) and Co-Principal Investigators (Co-PIs) involved in research programs at the University Massachusetts Boston. It aims to ensure the highest standards of stewardship, integrity, compliance, and effectiveness in the conduct of research, facilitating a collaborative environment that fosters innovation, accountability, and the advancement of knowledge.

See the ***ORSP Investigator Eligibility Policy*** in the Investigator Eligibility section of the ORSP website.

Investigator Roles Include:

Principal Investigator (PI/MPI)

The Principal Investigator (PI) and/or Multi-Principal Investigator (MPI) is charged with conducting objective research that generates independent, high quality, and reproducible results. The PI/MPI is responsible for the management and integrity of the design, conduct, and reporting of the research project and for managing, monitoring, and ensuring the integrity of any collaborative relationships. Additionally, the PI/MPI is responsible for the direction and oversight of compliance, financial, personnel, and other related aspects of the research project and for coordination with school, department, and central administration personnel to assure research is conducted in accordance with federal regulations and university and sponsoring agency policies and procedures.

The PI/MPI reports to a designated official such as a department chair, center director or dean.

Co-Principal Investigator or Co-Investigator (Co-PI/Co-I)

Co-PIs/Co-Is are key personnel who shares scientific and administrative leadership responsibilities for a program with the PI. While the PI has ultimate responsibility for the conduct of a research program, the Co-PI/Co-I is also obligated to ensure the program is conducted in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.

PI/Co-PI/Co-I Role Responsibilities

Each PI and Co-PI certifies with every proposal submission that all information provided is true and complete and that the proposal conforms to the University policies and procedures applicable to sponsored activities. In order to be certified as a PI or Co-PI, a researcher must confirm that he/she will comply with all regulatory compliance directives; that all information submitted within the proposal is true, complete, and accurate to the best of his/her knowledge; that any false, fictitious, or fraudulent statements or claims may subject the investigator(s) to criminal, civil, or administrative penalties; and

that the investigators(s) agree to accept responsibility for the conduct of the project and to provide all required reports as applicable if a project is awarded as a result of the proposal.

Upon accepting the award, each PI, Co-PI must also confirm that he/she will be responsible for project management of the award and agree to carry out the project with the highest professional standards and within the time period awarded. The PI assumes responsibility to read, understand, and comply with all the terms and conditions contained in the award. Finally, the PI must confirm that he/she understands his/her responsibility to abide by university and sponsor policies, procedures, and directives for the proper administration of sponsored projects.

Required training

Investigator Training	Resource	Applicability	Timing
Conflict of Interest (COI)	CITI	Required for Eligibility	Onboarding/Proposal Stage
Responsible Conduct of Research (RCR)	CITI	Required for Eligibility	Onboarding/Proposal Stage
Kuali Proposal Development-Approver	ORSP	Required	Proposal Stage
Research Security Training	CITI	Required	Proposal Stage
Export Control	CITI	Required	Award Stage*
Information Privacy Security	CITI	Required	Award Stage
SUMMIT	ORSP	Required	Award Stage
PI Intensive	SRAI**	Optional	Onboarding/Proposal Stage

*Federal
**Funded by Unit

Resources

Helpful Links

Office of Research and Sponsored Programs Website
Federal Uniform Guidance eCFR Glossary
FSU Academic Personnel Policy "Red Book"
Grant Terminology from Grants.gov

Investigator Eligibility Matrix

The Matrix below contains investigator eligibility levels associated with various HR appointment types and positions at UMass Boston. The table has three main sections: Eligible, Eligible with Approval, and Not Eligible. Each of these sections is categorized with examples below the category headers. See Appendix A for HR appointment definitions.

Sponsor level eligibility guidelines may be different than the university's. In cases where the sponsor's published eligibility requirements include appointments or positions that are deemed ineligible in this policy, ORSP may allow proposal submissions in accordance with the sponsor's eligibility criteria. Upon notification of award,

UMB will assign an eligible PI in accordance with the university policy (i.e. graduate research programs, post-doc training grants, student fellowships with faculty mentors listed as PI and reference the student).

Status:	Eligible			Eligible With Approval		Not Eligible	
Appointment Type:	Tenure & Tenure-Track Faculty	Research Faculty	Professional Staff*	Non-Tenure Track Faculty	Other	Students	Non-Faculty & Other Staff
HR Position Titles:	Tenure-track Assistant, Associate, & Full Professors	Research Assistant Professors	Senior Research Fellows	Lecturers	Post Docs	Undergraduate Students	Contingent Workers**
	Tenured Associate, & Full Professors	Research Associate Professors	Research Scientists	Clinical Professors	Emeritus	Graduate Students	Classified Staff
	Chairs, Deans, Directors & Provosts	Research Professors	Center/Institute & Program Directors		Visiting Professors		
	Incoming Faculty		Research Associates				
			Librarians				

*Excluding Temporary Professional Staff.

**Contingent workers who will be appointed to an award as Faculty or Staff are eligible for proposal submissions, the appointment must be completed to hold an award.

Investigator Eligibility Application

All investigators must apply for eligibility, showing they have satisfied their required training and attesting they commit to fulfilling their responsibilities with honesty, integrity, transparency, and ethical conduct. Eligibility applications are managed through Kuali Build electronic form routing, see the Using the Application Form section below.

Using the Application Form

All new investigators and investigators that are eligible with approval must complete the application.

- New Investigators
  - Complete the application as part of their onboarding process or at the time of their first proposal if they have not applied already
- Eligible with Approval Investigators
  - Are eligible on a case-by-case basis for each funding opportunity
  - Complete the application for any sponsored funding they are interested in applying for
  - Upload the approved application to their proposal in Kuali Proposal Development (PD)

Application routing and process

The application process is how an investigator's eligibility is reviewed and approved.

- Validations
  - Appointment types are validated against the applicant’s records in HR

  - Required trainings are validated by ORSP Compliance, and the applicant is checked for debarred status
- Approvals
  - Eligible appointment types require no additional approvals once their application details are validated
  - Eligible with approval appointment types are reviewed by ORSP and the applicant's home unit Chair or Director.

See the ***Kuali Build Investigator Application Guide*** in the Investigator Eligibility section of the ORSP website for more information.

Sponsored Program Administration

General Administrative

- Coordinates with school, department, and central administration personnel to help ensure that sponsored research and related activities are in accordance with federal regulations, university and sponsoring agency policies and procedures and award terms and conditions
- Administers and oversees research and all related activities
- Assures that all key personnel involved in sponsored program administration have met training requirements in accordance with federal regulations, university and sponsoring agency policies and procedures and award terms and conditions
- Supports and endorses cooperation with university compliance and monitoring efforts related to sponsored program administration and reports instances of noncompliance to the appropriate compliance office

Proposal Development

- Secures institutional concurrence on all outgoing proposals and applications for research funding in advance of submission
- Obtains or coordinates with department administrators to develop proposals and obtain appropriate internal approvals
- Ensures that proposals meet federal regulations and university and sponsoring agency policies and procedures prior to submitting proposal to sponsoring agency. See Deadline Policy on the ORSP website

Proposal Budget

- Develops budget and justification in accordance with federal regulations and university and sponsoring agency policies and procedures and funding opportunity announcement published guidelines
- Makes key budgetary decisions and verifies that appropriate budgets and cost projections are prepared to deliver the proposed project scope
- Prepares or coordinates with department administrator to prepare categorized budget and justification and confirm accuracy and completeness of budgeted costs

Protocol Preparation and Review

- Prepares and submits scientific protocol(s) or changes in accordance with federal regulations and university and sponsoring agency policies and procedures
- Submits any proposed changes to the protocol for approval as required and assures that changes are not implemented prior to approval
- Reviews protocol at inception and as required thereafter for completeness, accuracy, and improvement opportunities

Award Acceptance & Management (Terms and Conditions)

- Recognizes the University as the award grantee/recipient of awards and ORSP as the authorized organization representative on all award negotiation and acceptance activities
- Reviews and acknowledges award agreement in accordance with university policies and procedures
- Complies with award terms and conditions in accordance with federal regulations and university and sponsoring agency policies and procedures
- Complies with and implements award scope of work and project description and secures prior approval for any changes to the awarded scope during the period of performance

Responsible and Ethical Conduct of Research (RECR)

- RECR Policy for UMass Boston
- Oversees the conduct of research in accordance with federal regulations and university and sponsoring agency policies and procedures
- Oversees the research team to help ensure ethical conduct in all aspects of the research process including but not limited to the treatment of human and animal subjects, conflicts of interest, data acquisition, management, sharing and ownership, publication practices, responsible authorship, and collaborative research and reporting
- Promotes the ethical conduct of research by reporting good faith suspicions of misconduct in research as defined within UMASS Boston's Research Integrity Policy and other misconduct as described in UMASS Boston's Code of Conduct
- Reporting Misconduct at UMass Boston

Indirect Costs (F&A)

- Develops budgets in accordance with the university's NICRA and Indirect Costs Policy and Procedures
- Identifies research activities that correspond to program type to allow determination of applicable indirect (F&A) cost rate. Secures Indirect Cost Waiver as required for all proposals or awards requesting the use of rates other than the NICRA
- Coordinates with school, department, and central administration personnel to verify that the correct indirect cost rate is applied to sponsored project budgets
- See ***Indirect Cost Rate Agreement***, and ***Indirect Rate Policy for grants and contracts to external sponsors on*** in the Indirect (F&A) Rates, Costs, and Recovery section of the ORSP website.

Space Management

- Ensures there is adequate space available and assigned to investigator(s) for the duration of proposed performance period

- Uses allocated space appropriately and efficiently and reports correct use of space to the department

Equipment Management

- Obtains, maintains, and safeguards equipment used to conduct research in accordance with federal regulations and university and sponsoring agency policies and procedures

Service Centers

- Develops, monitors, and administers service center rates in accordance with federal regulations and university and sponsoring agency policies and procedures
- Provides general oversight for operation of specialized service centers in accordance with federal regulations and university and sponsoring agency policies and procedures

Award Management

General Administrative

- Oversees administration of project funds
- Coordinates with school, department, and central administration personnel to determine whether the project charges are allowable and allocable in accordance with federal regulations and university and sponsoring agency policies and procedures
- Verifies the authenticity and accuracy of expended funds on a monthly basis and notifies award management staff when expenses are incorrect
- Assures that all key personnel involved in financial management have met training requirements in accordance with federal regulations and university and sponsoring agency policies and procedures
- Supports and endorses cooperation with university compliance and monitoring efforts related to financial management and reports instances of noncompliance to the appropriate compliance office

Cost Sharing

- Develop cost share components as required by the sponsoring agency program requirements and guidelines and in accordance with federal regulations, university and sponsoring agency policies and procedures
- Document cost share commitments and coordinate with account owners to secure approvals for each component including institutional and third-party resources proposed as cost share
- Complies with cost share budgeting, tracking, reporting and certifying requirements set forth in award terms and conditions
- See the Cost Sharing section of the ORSP website

Cost Transfer

- Reviews and authorizes cost transfers promptly in accordance with federal regulations, university and sponsoring agency policies and procedures and award terms and conditions
- Submitting cost transfer request only when necessary or required and with adequate justification after a systematic review of expenditures for allowability and allocability
- See the Cost Transfer section of the ORSP website

Gift Cards

- Follow the university gift card policy regarding the use, distribution and reconciliation of gift cards.
- Verifying gift cards are allowable and allocable in accordance with federal regulations, university and sponsoring agency policies and procedures and award terms and conditions
- Secure all required approvals necessary for gift card distribution including compliance approvals
- See the ***Gift Card Request Process*** in the Participant Incentives section of the ORSP website

Participant Support Costs

- Identify participants and budget participant support costs in accordance with federal regulations, university and sponsoring agency policies and procedures and funding opportunity announcement and programs guidelines
- See the Participant Support Costs section of the ORSP website

Subrecipient Monitoring

- Monitor the programmatic and financial activities of subrecipients to ensure proper stewardship of sponsored funds, ensuring that in addition to achieving performance goals, subrecipients comply with federal laws and regulations and with the provisions of any agreements that govern the subaward including prime agreement terms and conditions when applicable
- See ***Subrecipient Monitoring Policy*** and ***Subrecipient Monitoring Procedure*** in the Subrecipient section of the ORSP website

Reporting

- Complies with technical, progress, and compliance reporting requirements in accordance with federal regulations and university and sponsoring agency policies and procedures

Collections

- Assists as needed with invoicing collection efforts when requested by ORSP

Project Closeout

- Submits accurate and timely closeout documents to applicable Federal agencies, University entities, and the sponsoring agency in accordance with federal regulations and university and sponsoring agency policies and procedures
- Supervises and approves the posting of project expenses to the fund in accordance with federal regulations and university and sponsoring agency policies and procedures
- Coordinates with school, department, and central administration personnel to initiate resolution to any cost overruns
- Coordinates with departmental administrator and/or the Office of Sponsored Research and Programs to complete and submit appropriate final closeout or transfer forms

Effort Reporting

- Reviews, adjusts, and legally certifies the accuracy of personal effort certification reports for all applicable personnel
- Completes Effort Certification for unavailable personnel within deadlines and in accordance with federal regulations and university and sponsoring agency policies and procedures
- Assures that all key personnel involved in effort reporting have met training requirements in accordance with federal regulations and university and sponsoring agency policies and procedures
- Supports and endorses cooperation with university compliance and monitoring efforts related to effort reporting and reports instances of noncompliance to the appropriate compliance office
- See the Effort Reporting section of the ORSP website

Conflict of Interest

- UMass Conflict of Interest Policy
- Takes appropriate steps to avoid conflicts of interest, or the appearance of conflicts of interest, between financial or other personal interests and the goals and policies of the University
- Complies with and assures personnel comply with applicable School, University, and sponsoring agency conflict of interest policies and procedures
- Discloses all significant financial conflicts of interest within the Kuali Disclosure system and complies with recommended management strategies
- Supports and endorses cooperation with university compliance and monitoring efforts related to conflicts of interest and reports instances of noncompliance to the appropriate compliance office
- Complies with the University policy of Faculty Consulting and Outside Activities
- Completes Disclosures and maintain updated current disclosure in the Kuali System
- Update disclosures upon changes to **Financial Conflict of Interest (FCOI), Foreign Engagement, and Conflict of Commitment (COC)**
- See the Conflict of Interest section of the ORSP website

Human Research Participant Protection

General Administrative

- Protects the rights and welfare of human research participants in accordance with federal regulations and university and sponsoring agency policies and procedures
- Assures that all key personnel involved in human research complete and comply with the required education for the protection of human participants in accordance with federal regulations and university and sponsoring agency policies and procedures
- Supports and endorses cooperation with University compliance and monitoring efforts related to human participant research and reports instances of noncompliance to the appropriate compliance office
- See the Applying to the IRB section of the ORSP IRB website

Preparation of an IRB Protocol

- Prepare and submit IRB proposal in the Kuali System

- Performs a comprehensive review of background and scientific literature prior to preparing the scientific proposal
- Provides or coordinates with department administrator to provide accurate human research participant approval information for all submissions and correspondence to the sponsoring agency
- Discloses and details use of human participants in the scientific proposal
- Verifies that the protocol and proposal for funding are identical
- Complete the IRB CITI Training

Proposal Budget

- Verifies that the proposal budget provides sufficient funds for compliance with federal regulations and university and sponsoring agency policies and procedures
- Pays research participants and/or covers their expenses as approved by the IRB Committee

Protocol Preparation and Review

- Prepares and submits human research protocols or changes in accordance with federal regulations and university and sponsoring agency policies and procedures
- Submits any proposed changes to the protocol for approval as required and assures that changes are not implemented prior to approval
- Reviews protocol at inception and as required thereafter for completeness, accuracy, and improvement opportunities

Informed Consent

- Prepares and maintains all documents related to the informed consent process
- Submits informed consent documents to IRB for review and approval
- Completes the consent process as approved, including obtaining all on-going re-consent documentation
- Assures accurate execution of the informed consent process

Award Acceptance (Terms and Conditions)

- Verifies that protocol complies with the terms and conditions of the award and that IRB protocol approval is in place prior to the acceptance of the award and the start of research

Conduct of Research

- UMass Responsible Conduct of Research Policy
- Oversees the conduct of research in accordance with federal regulations and university and sponsoring agency policies and procedures
- Conducts research in accordance with current, approved human studies protocol for the duration of the project
- Adheres to all recommendations and conditions placed upon the study by the IRB, and other University entities as appropriate for the duration of the project
- Promotes the ethical conduct of research by reporting good faith suspicions of misconduct in research as defined within UMASS Boston's University's Research Integrity Policy and other misconduct as described in UMASS Boston's University's Code of Conduct

Protected Health Information

- Adheres to and supports all federal regulations and university policies and procedures instituted to safeguard protected health information (PHI)
- Assures that all personnel complete the appropriate level of training regarding the access, use, and disclosure of PHI in accordance with federal regulations and university and sponsoring agency policies and procedures
- Supports and endorses cooperation with University compliance and monitoring efforts regarding the access, use, and disclosure of PHI and reports instances of noncompliance to the appropriate compliance office

Unanticipated Problems

- Promptly reports any unanticipated problems involving risks to research participants or others to the IRB

Reporting

- Complies with technical, progress, and compliance reporting requirements in accordance with federal regulations and university and sponsoring agency policies and procedures

Project Closeout

- Submits accurate and timely closeout documents to applicable Federal agencies, University entities, and the sponsoring agency in accordance with federal regulations and university and sponsoring agency policies and procedures
- Secures and maintains or coordinates with department administrator to secure and maintain all documentation for the study in accordance with federal regulations and university and sponsoring agency policies and procedures

Animal Welfare

UMass Boston Animal Welfare

General Administrative

- Oversees the humane care and use of animals involved in research in accordance with federal regulations and university and sponsoring agency policies and procedures
- Assures that all key personnel involved in animal research complete the required education for the humane care and use of animals and laboratory safety and radioactive materials in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures
- Supports and endorses cooperation with University compliance and monitoring efforts related to animal welfare and reports instances of noncompliance to the appropriate compliance office

Preparation of IACUC Protocol

- Prepares and submits IACUC protocol in the Kuali System
- Provides or coordinates with department administrator to provide accurate animal studies approval information for all submissions and correspondence to sponsoring agencies
- Discloses and details use of animal subjects in the scientific proposal

- Verifies that the protocol and proposal for funding are identical
- Complete the IACUC CITI Training

Proposal Budget

- Verifies that the proposal budget provides sufficient funds for compliance with federal regulations and university and sponsoring agency policies and procedures

Protocol Preparation and Review

- Prepares and submits animal studies protocols or changes in accordance with federal regulations and university and sponsoring agency policies and procedures
- Submits proposed changes to the protocol for approval as required and assures that changes are not implemented prior to approval
- Reviews protocol at inception and as required thereafter for completeness, accuracy, and improvement opportunities

Award Acceptance (Terms and Conditions)

- Verifies that protocol complies with the terms and conditions of the award and that Institutional Animal Care and Use Committee (IACUC) protocol approval is in place prior to acceptance of award and the start of research

Conduct of Research

- UMass Responsible Conduct of Research Policy
- Oversees the conduct of research in accordance with federal regulations and university and sponsoring agency policies and procedures
- Conducts research in accordance with current, approved animal studies protocol for the duration of the sponsored project
- Adheres to all recommendations and conditions placed upon the study by the IACUC, veterinary staff, and other University entities as appropriate for the duration of the project
- Promotes the ethical conduct of research by reporting good faith suspicions of misconduct in research as defined within UMASS Boston's University's Research Integrity Policy and other misconduct as described in UMASS Boston's University's Code of Conduct

Serious Adverse Events

- Reports serious violations of approved protocol to the IACUC particularly any that may affect animal safety

Reporting

- Complies with technical, progress, and compliance reporting requirements in accordance with federal regulations and university and sponsoring agency policies and procedures

Project Closeout

- Submits accurate and timely closeout documents to applicable Federal agencies, University entities, and the sponsoring agency in accordance with federal regulations and university and sponsoring agency policies and procedures
- Secures and maintains or coordinates with the department administrator to secure and maintain all documentation for the study in accordance with federal regulations and university and sponsoring agency policies and procedures

Responsible and Ethical Conduct of Research (RECR)

- Oversees the conduct of research in accordance with federal regulations and university and sponsoring agency policies and procedures
- Completes RECR CITI Training as outlined on the RECR section of the ORSP website
- Places a strong emphasis on the responsibility of mentors in fostering the next generation of ethical researchers. Faculty and research supervisors are expected to model and teach integrity, guiding mentees in best practices, ethical decision-making, and adherence to RECR standards throughout the research process
- Proper data management is essential for responsible research. All researchers must securely collect, store, and manage data, ensuring it is accurate, complete, and accessible according to university and sponsor requirements. Researchers are responsible for retaining records in compliance with federal and institutional policies
- Researchers are expected to follow ethical guidelines for authorship, ensuring that credit is fairly allocated based on significant contributions to the research. UMass Boston also requires transparency in publication practices, including the disclosure of potential conflicts of interest and adherence to open, honest communication of research findings
- In collaborative research, researchers are responsible for clearly defining roles, responsibilities, and expectations with all collaborators, including external partners. Effective communication and a shared commitment to RCR principles are essential to maintaining trust and accountability among research team members
- All researchers at UMass Boston are required to participate in ongoing RECR training to stay current with evolving ethical, regulatory, and procedural standards, reinforcing a lifelong commitment to conducting rigorous and responsible research
- Promotes the ethical conduct of research by reporting good faith suspicions of misconduct in research as defined within UMASS Boston's University's Research Integrity Policy and other misconduct as described in UMASS Boston's Code of Conduct

Environmental Health and Safety UMass Boston EHS Website

General Administrative

- Adheres to all federal, state, and local regulations and university and sponsoring agency policies and procedures instituted to protect the health and safety of research participants, personnel, and the environment

- Assures that individuals handling hazardous or regulated materials are well trained in proper safety procedures and complete the required environmental health and safety education in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures
- Establishes and monitors or coordinates with department administrator to establish and monitor safety programs for department, center, or project in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures
- Supports and endorses cooperation with University compliance and monitoring efforts related to environmental health and safety and reports instances of noncompliance to the appropriate compliance office

Preparation of IBC Protocol

- Provides or coordinates with the department administrator to provide accurate environmental health and safety information for all submissions and correspondence to the sponsoring agency
- Verifies that facilities and resources can be provided to adequately and safely implement the research proposal
- Prepare a protocol to submit to the Institutional Biosafety Committee
- Completes all necessary lab safety and environmental safety standards training

Proposal Budget

- Verifies that the proposal budget provides sufficient funds for compliance with federal, state, and local regulations and university and sponsoring agency policies and procedures

Protocol Preparation and Review

- Identifies hazards associated with project activities
- Prepares and submits environmental health and safety protocols or changes in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures
- Submits and proposed changes to the protocol for approval as required and assures that changes are not implemented prior to approval
- Reviews protocol at inception and as required thereafter for completeness, accuracy, and pollution prevention and health and safety improvement opportunities

Award Acceptance (Terms and Conditions)

- Verifies that protocol complies with the terms and conditions of the award and that applicable environmental health and safety protocol approvals are in place prior to acceptance of award and the start of research

Conduct of Research

- Oversees the conduct of research in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures
- Conducts research in accordance with current, approved environmental health and safety protocols for the duration of the project

- Coordinates with department administrator and/or Environmental Health and Safety (EHS) to implement appropriate safety procedures and practices for the research project and to assure the availability of engineering controls and safety equipment prior to the start of the research
- Adheres to all recommendations and conditions placed upon the research by EHS and assures that safety and compliance procedures are adhered to by all personnel for the duration of the project
- Promotes the ethical conduct of research by reporting good faith suspicions of misconduct in research as defined within UMASS Boston's University's Research Integrity Policy and other misconduct as described in UMASS Boston's University's Code of Conduct

Serious Adverse Events

- Reports promptly all on-the-job accidents, illnesses, unlawful environmental releases, and/or potential exposures in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures
- Takes immediate and appropriate corrective actions and implements measures to prevent future occurrences

Reporting

- Complies with technical, progress, and compliance reporting requirements in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures

Project Closeout

- Submits accurate and timely closeout documents to applicable federal, state, and local agencies, university entities, and the sponsoring agency in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures
- Complies with laboratory decommissioning and safety guideline requirements in accordance with federal, state, and local regulations and university and sponsoring agency policies and procedures

Patents and Inventions

Commercial Ventures and Intellectual Property (CVIP)

General Administrative

- Coordinates with department administrator and/or the Office of Office of Sponsored Research and Programs (ORSP) to disclose and report patent and invention information in accordance with federal regulations and university and sponsoring agency policies and procedures
- Reports all inventions promptly to ORSP to assure proper patent protection
- Coordinates with ORSP on the preparation and prosecution of patents
- Supports and endorses cooperation with university compliance and monitoring efforts related to patents and inventions and reports instances of noncompliance to the appropriate compliance office
- Contacts the office of ORSP

Preparation of Scientific Proposal

- Provides written confirmation of invention in accordance with federal regulations and university and sponsoring agency policies and procedures

Export Controls

General Administrative

- Remains aware of and adheres to federal regulations and university policies and procedures related to export controls.
- Assures that key personnel are well trained in federal regulations and university policies and procedures related to export controls
- Discloses international exchanges of information, items, International travel, and/or activities as requested and complies with recommended management strategies and restrictions
- Completes CITI Training modules:
    - Undue Foreign Influence
- Consult with ORSP on Export Controls
- Follow UMASS Boston Data Retention Policy
- Follow UMASS Policy on Malign Foreign Government Talent Recruitment Programs (MFTRPs)

Research Security

General Administrative

- Remains aware of and adheres to federal regulations and university policies and procedures related to Research Security
- Assures that key personnel are well trained in federal regulations and university policies and procedures related to Research Security
- Discloses international exchanges of information, international travel, items, and/or activities as requested and complies with recommended management strategies and restrictions
- Completes CITI Training modules:
    - Research Security Training – Annually
    - Research Security Refresher
- Consult with ORSP on Research Security
- Follow UMASS Boston Data Retention Policy
- Follow UMASS Policy on Malign Foreign Government Talent Recruitment Programs (MFTRPs)

Appendix A – HR Appointment Definitions

Eligibility Matrix Position Descriptions

Employment Category	Definition
Tenure track – Assistant Professor and Associate Professor	Tenure track – refers to faculty whose appointment is probationary. Faculty with Assistant or Associate Professor ranks hold a terminal degree and are responsible for teaching, research, and service.
Tenured – Associate Professor and Full Professor	Tenured -- refers to faculty members who have successfully performed and met the performance expectations. Tenured faculty with Associate and Full Professor ranks responsible for teaching, research and service.
Incoming Faculty	Tenure track faculty hired who will start at the beginning of semester.
Research Assistant/Associate/Full Professor	Research faculty whose primary effort is in research rather than instruction. Research faculty have terminal degrees, and their appointments are not tenure track.
Senior Research Fellow	Professionals whose responsibilities include development and execution of research projects or research facilities for clinical studies or other purposes.
Research Scientist	Professionals whose responsibilities include planning, managing and conducting research projects and developing scientific approaches and solutions that address scientific challenges.
Center/Institute and Program Director	Faculty and/or professionals who manage the day-to-day operations of a center or program, including finances, staffing, and administrative review.
Research Associate	Professionals with an advanced degree who primarily focus on conducting research under the supervision of a principal investigator (professor), contributing to the design, execution, and analysis of research projects within their field of expertise; essentially, they are a dedicated researcher working on specific research initiatives.
Librarian	An academic professional who is in charge of or works professionally in a library and is responsible for its management and services. These are non-tenure track appointments.
Lecturer	Faculty members who teach a subject at a college or university in a non-tenure track position. These are non-tenure track appointments.
Clinical Assistant/Associate/Full Professors	Faculty members who teach with a focus on the practical skills associated with their education as well as the theoretical applications of their learnings. These are non-tenure track appointments.
Post Doctoral Research Fellows	A postdoctoral scholar ("postdoc") is an individual holding a doctoral degree who is engaged in a temporary period of mentored research and/or scholarly training for the purpose of acquiring the professional skills needed to pursue a career path of their choosing.
Emeritus	Retired faculty members who have been awarded an honorary title (emeritus) in recognition of their distinguished service to an academic institution.
Visiting (Assistant) Professors	Faculty members with a temporary academic position at a university where someone is hired to teach courses for a limited period, usually a year, often filling in for a tenured faculty member who is on sabbatical or leave and typically holds a terminal degree.
Contingent Workers	A Contingent Worker is a person providing services to the organization and does not have an official relationship with the organization.