

Appendix A

PRINCIPAL INVESTIGATOR RESPONSIBILITIES FOR NONWOVENS INSTITUTE-FUNDED PROJECT

NCSU File # _____ (PINS or SPS)

As a Principal Investigator (“PI”) for a Nonwovens Institute (“NWI”)-funded core research project, entitled

I acknowledge the below responsibilities and agree to the following:

1. **Project Management.** PIs are responsible for the overall preparation, administration, as well as the technical and fiscal management of the project. These obligations include, but are not limited to, the management of the project within funding limitations, adherence to reporting requirements, and ensuring that NWI is notified regarding a change in project status or significant conditions that may affect the project. While day-to-day operations of the project may be delegated to research personnel, the PI is ultimately responsible and accountable for compliance with federal, state and local laws, applicable institutional policies, and NWI requirements.
2. **Research Integrity.** PIs and their research personnel are expected to follow all institutional policies and procedures that govern research conduct, including those related to the responsible conduct of research and research ethics. PIs are expected to adhere to the highest ethical standards for all research and scholarly work. It is the responsibility of every PI to maintain the integrity of research projects by keeping accurate, permanent, and auditable records of all experimental protocols, data, and findings, and to charge other contributors with the same standards. The PI bears ultimate responsibility for all activities associated with the conduct of a research project, including compliance with ethical principles.
3. **Reporting Requirements.** PI’s must comply with NWI requirements for reporting research results, which include providing two (2) reports per year. Details for such requirements are posted and updated regularly at: <https://thenonwovensinstitute.com/research/faculty-and-principal-investigators/research-review-meetings/>. Failure to comply with the reporting requirements will result in the termination of the project.
4. **Project Term.** Projects must be completed within 24 months for Masters student projects, or 36 months for PhD student projects. Projects shall start in August of each year and terminate as soon as the student has defended his/her thesis or dissertation. Funding for these projects will end on May 15th of the final project year (year 2 for Masters and Year 3 for PhD).
5. **Funding.**
 - a. **No Commingling.** NWI funding for the research must not be co-mingled with other funds received from State or Federal sources, or funds received from other industry sponsors. The commingling of funds can result in conflicting obligations to funding sources and may cause the institution to breach the NWI Bylaws and contract terms with sponsors, which can result in liability and/or disbarment from future funding for the PI and the institution.
 - b. **Project Funding.** The project’s funding is only guaranteed for the project’s first year. Continued funding is dependent on the availability of funds and demonstration of sufficient progress. Projects are subject to termination for lack of progress or lack of communication with project industrial advisors about the project’s progress.

6. **Confidentiality.** The PI is responsible for ensuring that all research personnel are aware of and comply with the NWI confidentiality provisions as set forth in its Bylaws.

7. **Conflicts of Interest.** In order to be eligible to receive NWI funding, the PI, and their research personnel, cannot serve on a board or executive position, own equity in, act as a principal of, or serve as a consultant to a company that is involved in activities that are similar in nature, or can derive a benefit from, the PI's research project. PIs must avoid or minimize real or apparent conflicts of interest, including financial conflicts of interest and conflicts of commitment. PIs must ensure that there is no reasonable expectation that the design, conduct, and reporting of the research will be biased by any financial or personal interest of a PI responsible for the research. PIs are responsible for ensuring that any potential conflict related to the PI, or of their research personnel, is reported and managed as required by institutional policy, e.g., including the reporting of any pre-existing intellectual property related to their research project to NWI. Involvement in any of the prohibited activities listed above will result in the project's termination.

8. **Intellectual Property.** NWI's Bylaws provide the Institute's policy and procedures for the ownership, administration, management, and licensing of intellectually property made or conceived in the performance of Core Research. Pursuant to these Bylaws, NWI must promptly disclose any intellectual property resulting from Core Research to NWI members. Therefore, if a PI believes they have come up with a patentable idea, they need to disclose this to "their respective" universities. If the PI is at NC State, they must promptly complete and submit Invention Disclosures describing all intellectual property created from the research to NC State University's Office of Technology Commercialization and New Ventures. If the PI is not at NC State, they must let their university know of the agreement with NC State and the Bylaws, submit Invention Disclosures with their university, and the partner university should then inform NC State of the Invention Disclosure. In all cases, the PI must immediately notify NWI about any intellectual property resulting from NWI's Core research programs. NWI will then inform members of the disclosure. If a member is interested in licensing the technology, they negotiate with the university processing the disclosure, i.e., either NC State, or the partner university. For the special case where an NC State PI is a co-inventor together with a PI from a partnering university, the two universities will be engaged to agree that one of them will take on the role of leading discussions.

9. **Publications.** Publication of research results in scientific journals is encouraged. However, in order to prevent untimely publication of patentable research, **all proposed publications must be submitted to NWI prior to publication and disclosure for a preliminary review by IAB.** Submissions will be posted on NWI's internal website for its members notification and review. "Publication" means any written, oral, or other public divulgence of research results, including the public use or sale of an invention based on the research results, to the extent that any such event could bar the availability of patent protection in foreign jurisdictions or trigger the one-year grace period in the U.S. within which a U.S. patent application must be filed.

I have read the NWI Bylaws and the above responsibilities and understand that I am responsible for complying with the terms and conditions of these documents, in addition to all other policies, regulations and guidelines on the conduct of research at NC State University. I understand that my failure to comply with these terms and conditions may result in the termination of my research project, and may prevent me from receiving future NWI funds.

SIGNED:

_____ Date: _____

Printed Name: