



RU Policy No. 4.12

Responsible Division: Academic Affairs
(Office of Sponsored Programs and
Research Services)

Originally Issued: 12/2013

Last Revised: 03/2019

Revised Effective Date: 03/2019

Research and Sponsored Program Policy

Policy Statement

The Office of Sponsored Programs and Research Services approves and monitors all funded sponsored research projects. To that end, the purpose of this Policy is to establish the procedures for seeking approval and implementing funded sponsored research projects, including grants and contracts.

The University reserves the right to modify or amend this Policy at any time, at its sole discretion. Any change to this Policy will become effective at the time designated above, and the changes will apply to both current and prospective faculty, students, and staff. This Policy does not constitute an express or implied contract between Roosevelt University and any past, present, or prospective student, employee (including administrator, faculty, or staff), contractor, or volunteer.

This Policy governs conduct on all of the University's properties, including but not limited to the Auditorium Theatre of Roosevelt University ("ATRU"). Unless otherwise stated, the following definitions apply to this Policy:

- **"Employee"** shall refer to all employees (including administrators, faculty, and staff), contractors, and volunteers.
- A **"Principal Investigator"** is the individual responsible for the preparation, conduct and administration of human subjects research.
- A **"Project Director"** is the person responsible to carry out responsible for preparation, conduct and administration of a sponsored grant or contract as a responsible party of the university.
- A **"Sponsored Project"** is one that is awarded (or potentially awarded) to the University by external sources in support of research, instruction, training, testing, service, or other scholarly activities under an agreement where one of the following conditions apply:
 1. The proposal and/or award instrumentation requires institutional endorsement; or

2. The project obligates the Principal Investigator (“PI”) or Project Director (“PD”) to a line of scholarly or scientific inquiry that typically follows a plan, provides for orderly testing or evaluation, or seeks to meet stated performance goals; or
3. The project establishes an understanding of how funds will be used or includes a line item budget that identifies expenses by activity within a defined project period; or
4. The proposal and/or award instrumentation requires: (a) fiscal accountability as evidenced by the submission of financial reports to the sponsor, an audit provision, or the return of unexpended funds at the conclusion of the project; or (b) obligates the PI to report project results or convey rights to tangible (*i.e.*, equipment, reports, etc.) or intangible properties (*i.e.*, data, copyright or inventions) resulting from the project; or (c) requires considerations such as indemnification or imposes other terms of legal accountability.

Policy

All agreements involving a Sponsored Project must be approved by the Associate Provost for Research and Faculty Success, or their designee, in accordance with RU Policy No. 6.4 (Contract Policy and Procedure).

Entities Affected by this Policy

All Divisions of the University.

Related Documents

RU Procedure No. 4.12 (Research and Sponsored Program Procedure); RU Policy No. 4.14 (Conflict of Interest in Research Policy); RU Policy No. 6.3 (Purchasing Policy and Procedure); RU Policy No. 6.4 (Contract Policy and Procedure); RU Policy No. 6.4F (Contract Routing Form).

Revision and Implementation

The Provost and Executive Vice President for Academic Affairs (“Provost”) shall have the authority to revise this Policy, subject to the approval of the President’s Executive Council (if required).

The Provost (or, as authorized by the Provost, the Associate Provost for Research & Faculty Success), shall have the authority to establish any procedures necessary to implement this Policy.