

80.1 Statement of General Principles and Policy Guidelines for Sponsored Research

Policy Name: STATEMENT OF GENERAL PRINCIPLES AND POLICY GUIDELINES FOR SPONSORED RESEARCH
Approval Authority: PROVOST AND ACADEMIC VICE PRESIDENT
Responsible Executive: EXECUTIVE DIRECTOR OF THE OFFICE OF SPONSORED RESEARCH
Responsible Office: OFFICE OF SPONSORED RESEARCH
Effective Date: 6 October 2008

1. Statement

The following general principles govern University research sponsored in whole or in part by outside entities, including industry or government. University research is defined as any research activity using University facilities or with support from funds administered by the University. Excluded from the definition of University research is personal research not supported from external funds administered by the University and that does not require the use of University facilities or equipment to fulfill an external contractual or consulting obligation.

2. Reason/Purpose for the Statement

This introductory Statement provides general direction and focus to the Stevens' research community regarding our culture of ethics, scholarship and perceived obligations. Policies developed to address specific research-related topics, requirements, processes and procedures are resided in this section of the Policy Library.

3. Policy Applies To

All faculty and staff at the University involved or associated with sponsored research activities.

4. Related Documents

All research policies contained in this section of the Stevens' Policy Library

5. Contacts

Office of Sponsored Research

6. Principles

- a. University research must be conducted only for purposes that are consistent with the University's principal missions of the preservation, pursuit, dissemination, and application of knowledge. In particular, classified research projects or projects that otherwise prohibit or limit publication of research results are generally inconsistent with University missions. Publication is considered to include, but is not limited to, journal publications, proceedings of meetings and conferences, student dissertations and theses, and book manuscripts. ***Any "classified research" or proposed research that would limit or restrict publication and/or be inconsistent with the general principles of academic freedom must be considered and approved in advance by the Provost.***
- b. Prompt publication of results is the normal and expected outcome of a research project. A delay not to exceed ninety (90) days in submission for publication may be requested by a sponsor who wishes to preview research results. In cases in which a sponsor has been afforded the right to prepare a patent application, or the University wishes to prepare a patent application, it may be agreed that submission for publication may be delayed for up to an additional six months. The research agreement governing any project should specify at the

outset of the program whether the sponsor reserves the right to request a delay for either of these reasons.

- c. In those research projects in which proprietary information is provided by the sponsor prior to or during the course of the project, any limitations on the disposition of that information must be described in writing prior to the time the information is made available and any requirements of confidentiality or other limitations must be documented, provided to, and approved by either the Executive Director of the Office of Sponsored Research, or the Director of the Office of Academic Entrepreneurship. At Stevens, only these two positions are authorized to negotiate and execute Confidentiality/Non-Disclosure Agreements. Knowledge developed by Stevens' researchers on the basis of proprietary information is to be governed by these research guidelines, unless otherwise governed by terms of an authorized research agreement. Proprietary information may be kept confidential between the sponsor and University researchers. Any requirements of confidentiality should be limited, however, especially as they apply to graduate and professional students, when those provisions inhibit in any material way the free flow and exchange of ideas important to University missions and/or the preparation and publication of theses and dissertations. Any participation by graduate and professional students in research that limits or restricts communication must be approved in advance by the appropriate Dean. Approved templates for [mutual](#) and [one-way](#) Confidentiality Agreements are resided on the Office of Sponsored Research webpage.
- d. The University retains ownership of patent rights and software copyrights issued on the basis of any University research. In exceptional circumstances, deviations from this policy may be approved by the Provost based on terms that become provisions of the sponsored research agreement.
- e. Researchers are obligated to inform their department chairs, Deans, and the Office of Sponsored Research in writing, and in advance, of project sponsorship of any special relationship that they have or intend to have with a sponsor. This disclosure should detail fully the nature and purpose of the relationship but normally need not provide specific amounts of financial reimbursement figures except when necessary to determine the existence of conflicts of interest, allocation of effort, or other University interests defined by the Provost or Academic Council. This provision applies to all participants in a project, including faculty members, research associates, members of the staff, and students. It is expected that sponsors may inquire whether a researcher is receiving support from a competitor and whether safeguards are in place to protect proprietary information from being misused. To avoid conflicts of interest, researchers should be especially cautious when accepting support from competitor sponsors who are providing proprietary information.
- f. A faculty member who serves as principal investigator on a sponsored project is responsible for justifying the appropriateness of direct costs budgeted and charged on that project in accordance with overall government regulations, sponsoring agency guidelines, conditions made as a part of an individual award, and Stevens' policies and guidelines. Faculty members are also responsible and accountable to University officials for the proper conduct of the project or program, including, for example, compliance with policies and procedures concerning the use of human subjects or animals in research activities and environmental safety, fiscal oversight and administration, and approval of monthly account reconciliations and reporting.