

<b>FLORIDA</b>	<b>OFFICIAL</b>
<b>POLYTECHNIC</b>	<b>UNIVERSITY</b>
<b>UNIVERSITY</b>	<b>ACADEMIC POLICY</b>

<b>Subject/Title:</b> Sponsored Research Roles and Responsibilities
<b>FPU Policy Number:</b> FPU-12.0011AP
<input checked="" type="checkbox"/> New Policy <input type="checkbox"/> Major Revision of Policy <input type="checkbox"/> Minor Technical Revision of Policy
<b>Date First Adopted:</b> September 9, 2015
<b>Date Revised:</b>
<b>Responsible Division/Department:</b> Office of Research Services
<b>Initiating Authority:</b> Randy K. Avent, President

**A. APPLICABILITY:**

This policy applies to all research activities (broadly interpreted as all forms of scientific inquiry, creative effort and scholarly activity) executed by University employees using any University space, facilities, materials, equipment, or property and which is financed by contract payments, grants, or gifts from any source.

**B. POLICY STATEMENT**

It is the policy of the University to encourage faculty members to participate in research sponsored by outside agencies when such research is consistent with the basic aims of the University in regard to the education of students, the extension of knowledge, and supports the University in fulfilling its mission as an innovative, interdisciplinary high-tech institution.

All members of the University community involved in research will take personal responsibility for their actions in pursuit of individual and organizational excellence. Each individual will uphold the highest standards of ethical and professional conduct in accordance with University, state, federal and sponsoring agency policies and regulations.

**C. SPONSORED RESEARCH ADMINISTRATION**

The Office of Research Services (“ORS”), which is under the direction of the Provost, is the designated University department responsible for all external proposal submissions. ORS assists faculty, staff and students in proposal preparation, funding source identification, compliance issues pertaining to the use of human and animal subjects in research, budget preparation, and any other aspect of research and sponsored programs at the University. ORS also acts as liaison between the sponsor agency and the faculty when requested to do so. The Contracts & Grants Manager is the University's reviewing, certifying, and negotiation coordinating officer for all research proposals submitted to outside agencies.

**D. SPONSORED RESEARCH PROCEDURES**

1. The Principal Investigator (“PI”) submits the proposal in draft form to the Contracts & Grants Manager, accompanied by the applicable internal proposal routing form (available from the Office of Research Services) approved by the Provost or designee, and indicating:

- (1) that complete coordination has been effected to ensure that any other University department or unit affected by or interested in the proposal is formally advised of the proposal and that formal acknowledgment or concurrence has been received from the affected department/unit;
  - (2) that full consideration has been given to both the physical and financial aspects of space requirements;
  - (3) that full costs of computer support required by the proposed effort have been included in the proposal budget;
  - (4) the anticipated duration of the project, with any possible extensions or ramifications;
  - (5) that the use of University funds, when included in the proposal, has been approved at all appropriate levels (as indicated in the applicable internal proposal routing form), and whether such funding relates to a division or sharing of salaries, the purchase of equipment, or other expenditures requiring University funds; and
  - (6) the proposed total budget.
2. The proposal will be reviewed for proper form, for budget correctness, and to ensure that pertinent policies and regulations of the University and the prospective sponsoring agency are met.
  3. When the proposal is in final form, and the applicable internal proposal routing form has been signed by the PI and the Provost or designee, the Contracts & Grants Manager will administratively certify the proposal, on behalf of the University, by official submittal to the prospective sponsoring agency.
  4. Any proposal negotiations between the University and a prospective funding agency will be closely coordinated with the PI by the Contracts & Grants Manager.
  5. All sponsored research contracts and agreements require review and approval by the Office of the General Counsel (“OGC”) in accordance with FPU-1.0128P Contract Review policy.
  6. Any modifications to an award that is received pursuant to a research proposal submitted by the University will also be processed in accordance with the foregoing procedure.
  7. The University Controller is responsible for contract & grant invoicing, record keeping, and accounting for all sponsored research funds in the Sponsored Research Development Fund. The Controller maintains, in accordance with acceptable accounting practices, such records and makes such reports as are required by Florida Board of Governors policy, by applicable laws, by the granting agency, by the Contracts & Grants Manager and by the Vice President and Chief Financial Officer. The Contracts & Grants Manager and the PI are responsible for contract and grant budget control and for determining that expenditures are made in accordance with the terms of the grant or contract.
  8. Final authority for accepting and signing research contracts and grants is vested in the President of the University.
  9. Indirect costs included in research agreements shall always be deposited in the permanent sponsored research development fund of the University to be allocated for the continuing support of research at the University.

10. The University Board of Trustees authorizes the President to establish and implement University policies and procedures to promote efficient operational functions and ensure institutional compliance with federal, state and sponsoring agency rules and regulations.

ACADEMIC POLICY APPROVAL	
Academic Policy No.: FPU-12.0011AP	
<u>Mare</u>	<u>8/21/15</u>
Initiating Authority	Date
<u>Heather Gibson</u>	<u>8-27-15</u>
Academic Policies Committee Chair	Date
<u>Stacy Derbyelli</u>	<u>8-31-15</u>
Vice President of Academic Affairs	Date
<u>Mare</u>	<u>8/31/15</u>
President/Designee	Date
Approved by FPU BOT, if required	<u>9/9/15</u>
	Date

Form: University Academic Policy Template 1- 6.17.13