

Research Policies

POLICY GOVERNING SPONSORED PROJECTS - 1M2

I. General Considerations

A. Definition

The term "sponsored project" in this policy statement refers to projects conducted in whole or in part under an agreement with one or several sponsors external to SIUE.

B. Best Efforts

Sponsored projects at SIUE shall be conducted on a best effort basis. The University, however, remains sensitive to the time constraints and the need for responsible efforts.

C. Publications

As a public, educational institution, SIUE must serve public purposes. Thus, project results must be freely available to the scientific community and the wider public. The standard agreement, therefore, states that SIUE will be free to publish the results of projects after providing a copy to the sponsor. If a sponsor insists on keeping results of projects confidential, SIUE will ensure that its investigators are agreeable to the terms and conditions before finalizing any agreement.

While insisting that project findings must be publishable, the University recognizes the legitimate proprietary interests of sponsors. Where appropriate, publication will be delayed for a specified period in order to protect patent and other proprietary rights. The University can provide the sponsor with advance copies of intended publications and provide an opportunity for comment with respect to patent matters and for the identification of any inadvertent disclosure of proprietary data. However, title to and the right to determine disposition of any material first produced or composed in the performance of sponsored projects shall remain with the University. The sponsor shall receive a royalty-free, non-exclusive license to reproduce, translate, and use copyrighted material for its own purposes consistent with publisher requirements.

D. Confidentiality

The University does not retain proprietary information or maintain the confidentiality of project results. Publications normally acknowledge the sponsor's support. While such acknowledgment can be omitted from publications at the sponsor's request, the identity of the sponsor, the identity of the University

investigators, the nature of the project, and the value of the agreement must be reflected in University records and be available to the public.

Although the University does not generate proprietary project results, there are situations in which a project requires access to the sponsor's own proprietary data. In such cases, the agreement(s) or a separate confidentiality agreement shall define the conditions under which such data shall be accepted and note that the University shall use reasonable efforts to protect such data. Such data must be clearly designated as proprietary when they are transmitted to the University. The University retains the right to refuse to accept any such data that it does not consider essential to the research or that it believes to be improperly designated.

E. Patents, Copyrights, Proprietary Rights, and Title Rights

Patents, copyrights, or other proprietary rights deriving from sponsored projects will be set forth in the agreement and pursuant to the terms of the SIU Board of Trustees Intellectual Property Policy ([2 Policies of the Board H](#)). The Intellectual Property Policy seeks to ensure that discoveries or inventions are used in ways that benefit the public while also providing adequate recognition and appropriate royalties to the responsible parties.

Unless otherwise covered in the agreement, the University retains title to inventions resulting from sponsored projects and may license them in the public interest under patent management arrangements that also reflect the needs of sponsors. Often, the sponsor is provided with a non-exclusive, royalty-free license or rights of first refusal. Insofar as SIUE is able to grant a license, SIUE may grant the sponsor the option to acquire exclusive rights, title and interest in and to SIUE's inventions or other intellectual property rights made and/or conceived in the course of this grant.

The University retains title to any equipment acquired and to buildings constructed as a result of any performance of a project unless agreed upon differently in the applicable agreement.

F. Payment Terms

Externally sponsored projects at the University can be conducted on the basis of a fixed price, installment payments based on milestones or deliverables, or cost-reimbursement. The University's externally sponsored projects involve both direct and indirect costs. Direct costs include the salaries, wage and employment benefits of project personnel; equipment; materials and services; and any other direct expenses necessary for performance of the project. A project's indirect costs include an allocable share of the University's costs to cover maintenance of the physical plant and facilities, the libraries, the general and administrative services, and other University support services.

G. Liability and Risk

The University will not cover business risks. In keeping with the best efforts principle, the University cannot accept agreement provisions that set strict deadlines, impose penalties for failure to make progress, or provide for withholding of payment if the sponsor is not satisfied with results.

H. Use of University Property

Illinois state law requires that public property be applied only to public purposes such as education, research, and service. Such property, which includes assets other than buildings or grounds, may be used by outside persons or agencies only in accordance with approved agreements that further the public purposes of the University.

I. Compensation

1. Compensation must be mutually agreed upon by the University employee, sponsor representative, and appropriate University administrators.
2. In the event of a change in compensation, such proposed change shall be approved by the process through which all contractual agreements between outside agencies and the University are reviewed and approved. Such changes in compensation shall then be reported to the Office of Human Resources by means of a Change of Assignment form bearing the pertinent information.
3. University employee research time includes both salary and fringe benefits. It can be negotiated as assigned time in place of regularly assigned duties and responsibilities, as overload compensation in addition to regular duties as subject to [Policy 1M1 Overload Compensation](#), as summer salary, or as a combination of these options.
4. Personal consulting by University employees normally does not involve a formal agreement for SIUE. Given reasonable limits and proper approvals, as specified in Policy on Outside Employment for Faculty, such consulting can be beneficial for the University as well as for faculty members and clients. Approvals for consulting will generally be given whenever these consulting activities do not interfere with regular duties. The University may, however, require more extensive involvement in the review of proposed consulting work or in the monitoring of approved consulting work in certain cases [for example, in a situation in which an employee(s) desires to perform consulting services for an entity that is a sponsor of a cooperative University-industry project].

II. Process for Establishing a Sponsored Project

A. Preliminary Discussions

Sponsored projects are most frequently initiated (1) when a sponsor wishes to support a project that an employee of SIUE wishes to pursue and (2) when the proposed project is approved by the University as consistent with the University's policies.

University policies and guidelines concerning externally sponsored projects are administered by the Graduate School. Under these policies and guidelines the University may engage in collaborative or joint programs with external sponsors, and the sponsor may work closely with the University to ensure that the project maintains its stated interest, but the University is ultimately responsible for the direction and supervision of the project. The principal investigator is responsible for directing the project in accordance with University policies and the contractual agreement. The sponsor is entitled to periodic reports on the progress and direction of the project.

B. Proposed Agreement Review and Submission

The employee develops a scope of work in consultation with the sponsor and a budget in consultation with the Office of Research and Projects (ORP). Once the sponsor approves the scope of work and budget, ORP negotiates the remaining terms of the agreement with the sponsor. The agreement shall describe the scope of work, identify the individuals who will perform it, and delineate the proposed budget.

The proposed project is reviewed according to [Policy 5B2 University Guidelines Regarding Review and Approval of Externally Financed Projects](#). The employee's supervisor and dean or director of the unit must be satisfied that the project is appropriate as part of the unit's educational and research program, that adequate space and facilities are available, and that the budget covers all applicable direct and indirect costs.

The ORP and the Associate Provost for Research review the proposed project for, among other issues, being relevant to the mission and scope of the University and not in conflict with the public interest or University policy. The ORP submits the signed agreement to the sponsor.

C. Agreement Negotiations

All contractual agreements for the sponsored project are negotiated by the ORP. Other administrative units, such as the SIU Office of Technology Transfer, will negotiate agreements under their purview. Discussions between the sponsor's representatives and other University employees are preliminary only, and the ORP must review any proposed commitment on behalf of the University and either endorse or negotiate necessary modifications. After negotiations are completed, the final agreement must be approved and signed by the Associate Provost for Research as the official authorized institutional representative.

III. Project Administration

- A. Responsibilities - When negotiations are completed and the agreement is signed, the ORP establishes a project account, notifies the project supervisor and unit, and takes whatever other steps are necessary so that the project can begin. The principal investigator and unit in which the project is performed are responsible for the conduct of the work and for the submission of appropriate technical reports to the sponsor. The ORP grant accountant is responsible for the submission of appropriate fiscal invoices and financial reports to the sponsor.
- B. Expenditures and Budget Modifications - The ORP reviews the expenditures on an ongoing basis to assure compliance with the terms of the agreement and University policy. Any charges made to a non-sponsored project (non-6) account that will be transferred to a sponsored project (6) account require pre-approval by the ORP. Any proposed modifications in the terms or conditions of an agreement, including changes in the scope of work or an increase or decrease in the estimated costs, must be forwarded via the ORP. Major renewals or extensions involving additional costs must be reviewed through normal procedures, the same as new proposals. Major modifications to a budget require pre-approval by the ORP.
- C. Documentation of Personnel Expenses - For sponsors that require compliance with 2 CFR 200.430 Compensation – Personal Services, ORP will provide documentation that the principal investigator or another responsible party familiar with the project work reviews. Corrections to personnel expenses charged to the sponsored project must be submitted promptly to ORP so that all necessary adjustment are made so that the final amount charged to the project is accurate, allowable, and properly allocated. Failure to comply may result in personnel expenses being removed from the grant account and charged to a unit account.
- D. Financial Reporting - If required by the agreement, a final financial accounting shall be submitted to the sponsor within 90 days after completion of the project. If the sponsor wishes, monthly reports or other periodic reports also can be submitted in the same format. If necessary, the University's accounting office can provide sponsors with copies of original receipts, vouchers, and other source documents relating to the costs. Financial records are maintained in accordance with generally accepted accounting practices and are available at the accounting office for inspection and audit by the sponsor for one year following completion of the project.
- E. Account Closure - The ORP closes sponsored project (6) accounts according to University and Graduate School procedures.
- F. Termination
 - 1. If a sponsor is dissatisfied with the progress of a project, or for any other reason wishes to discontinue it, the project may be terminated as set forth in the agreement. The University shall terminate any outstanding commitments and phase down the work in an orderly manner, and all costs associated with termination and with prior commitments shall be paid.
 - 2. The University also reserves the right to terminate a project if conditions beyond its control preclude continuation or if it determines that the project's activities are no longer in the public interest, as stated in the

original proposal. In this event, the University shall provide the sponsor with a final fiscal report accompanied by a final check for excess funds or invoice for funds due within 90 days after termination. The University shall also provide a report summarizing project results to the date of termination.

Approved by Chancellor effective 1/8/18

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UNIVERSITY POLICIES AND GUIDELINES CONCERNING RESEARCH AND CREATIVE ACTIVITIES - 1M4

Preamble

Southern Illinois University Edwardsville affords as one of its primary functions, programs in applied and basic research and creative activities. The University, as such, is a community of scholars striving to advance human knowledge in an atmosphere of open inquiry and free expression. All faculty members are expected to participate in scholarly activities, which are research and creative activities. Furthermore, such activity is expected to proceed with regard both for the truth and the well-being of all living creatures who might serve as objects of study or who might benefit from the results. Recognition of individual scholars who have demonstrated meritorious work is essential at all University levels. The University recognizes the desirability of supporting scholarly activities through the provisions of material resources, space, and assigned time.

Policy

1. The responsibility for coordinating the research and creative activities program of the University is delegated by the Chancellor, through the Provost, to the Associate Provost for Research, who reports to the Chancellor through the Provost.
2. The Provost shall on an annual basis review resources allocated by the units to scholarly activities. The Provost in concert with deans, directors, and chairs shall encourage equitable support within the units for scholarly activities, such support being consonant with the mission and resources of the University. The Provost shall encourage and support units in their attempt to secure external resources for their scholarly activities. The Provost shall advise the Chancellor on general budget requirements for scholarly activities.
3. The provisions of duly executed appointments, grants, contracts, awards, and other mechanisms involving the assignment of University personnel or resources will be honored.

4. Each researcher will abide by relevant Board of Trustees and University policies. The terms, conditions, and legal mandates governing sponsored projects will be honored by those participating in such arrangements.
5. The faculty of each unit shall formulate internal policy regarding scholarly activities. Unit policies shall be consistent with University and Board policies and with the mission of the University. Unit policies shall delineate types of research and creative activities that qualify for unit support, criteria and procedures for allocating unit resources to scholarly activities within budget guidelines, and the criteria and procedures for assessing and rewarding scholarly achievements. Unit policies shall be made available to the Provost and to the Associate Provost for Research.
6. Each unit shall maintain and annually update records with regard to the research and creative achievements of the personnel in the unit. These records shall be accessible to those having legitimate roles in the allocation of resources to scholarly activities and to those making recommendations on promotion, tenure, and salary adjustments of faculty.
7. The Graduate School shall annually provide a report, based on data from the units, including information on expenditures for scholarly activities during the prior year, sources of funds, scholarly achievements, and so forth. Copies of this report shall be available to the University community.
8. On a periodic basis the Graduate School, in conjunction with the Graduate Council, shall review the status of scholarly activity in the various units. This review should be a part of the program review process. Recommendations from these reviews shall be forwarded to the affected unit, to the Provost, and to the Chancellor. The Provost shall be responsible, along with the unit supervisor, for implementation of appropriate recommendations.
9. Appropriate guidelines to implement this policy shall be established by the Graduate School in consultation with the Graduate Council.

Approved by Chancellor effective 6/7/16

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Document Reference: IM4

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IMPLEMENTATION GUIDELINES CONCERNING RESEARCH - 1M5

1. Research is broadly defined herein as including all creative, scholarly, or empirical work (other than that normally associated with instruction and instructional development) that is designed to extend, clarify, or communicate knowledge.
2. The University, in concert with the units and consistent with available resources, shall encourage and support the securing of external resources for research programs and shall encourage and support researchers in the dissemination of results from research results.
3. Each unit shall have a comprehensive policy on research activities consistent with University policies on research and with the overall mission of the University. The policy shall be formulated by the department, school, college or appropriate unit and shall

define: (1) the quality and kind of research activities that qualify for unit support; (2) the criteria and procedures for allocating unit resources, i.e., research time, travel and equipment monies, space, etc., to research activities; and (3) the criteria and procedures for both assessing and rewarding research.

4. Consistent with the University's total mission and resources, units shall provide researchers with adequate assigned research time.
 - a. Research time shall be assigned to faculty to help them (1) develop their research skills; (2) initiate and/or conduct promising research; and (3) prepare major research proposals for outside funding.
 - b. Recipients of a research award granted by the Graduate School shall be assigned the research time specified in terms of the award.
 - c. Research time shall not be assigned for purposes of instruction, instructional development, administration, service, or any other activities not clearly identifiable as research.
 - d. The amount of research time assigned to a faculty member shall be tied closely to the scope of the research activities, research promise, and research productivity.
5. The Graduate School, as part of its purpose and function, should monitor, with input from the Graduate Council and the Deans, the resources allocated for, policies relevant to, and productivity resulting from research activities. Monitoring tools include but are not limited to the Policy 1M4 report, school/college annual reports, and university-, school/college-level, and unit-level policy reviews. Relevant policies include but are not limited to promotion and tenure policies and "A Policy for Awarding of Credit for Grant Authorship." Regular graduate program review should also include a discussion of the program faculty's views of the resources allocated for, policies relevant to, and productivity resulting from research activities.

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