



## RUTGERS POLICY

**Section:** 10.1.8

**Section Title:** Academic Matters

**Policy Name:** Research Policies and Regulations

**Formerly Book:** 2.5.1

**Approval Authority:** Board of Governors

**Responsible Executive:** Executive Vice President for Academic Affairs

**Responsible Office:** Office of Academic Affairs

**Originally Issued:** 1959

**Revisions:** 9/90; 6/10/09 (updated department's name), 4/30/13

### 1. **Policy Statement**

In recognition of its basic mission as the State University and a major research institution, the University shall develop policies and procedures which encourage and support the research activities of faculty and staff and which ensure the University's conformance with pertinent Federal and State law, applicable regulations of public and private funding agencies, and the University's internal policies and procedures for the solicitation and management of externally sponsored programs and for the allocation of internal research support.

### 2. **Reason for Policy**

To provide a framework around which the University shall conduct its research activities in compliance with Federal and State law, applicable regulations of public and private funding agencies, and the University's internal policies and procedures for the solicitation and management of externally sponsored programs and for the allocation of internal research support.

### 3. **Who Should Read This Policy**

All members of the Rutgers University community who are involved in research activities including, Deans, faculty members, staff, students and administrative leadership.

### 4. **Related Documents**

### 5. **Contacts**

Vincent Smeraglia, Office of Innovation and Technology Commercialization, 732-235-9356  
ext. 3021

Patrick Sinko, Office of Research Advancement, (732) 445-3831 ext. 213

## 6. The Policy

### 10.1.8 RESEARCH POLICIES AND REGULATIONS

A. In recognition of its basic mission as the State University and a major research institution, the University shall develop policies and procedures which encourage and support the research activities of faculty and staff and which insure the University's conformance with pertinent Federal and State law, applicable regulations of public and private funding agencies, and the University's internal policies and procedures for the solicitation and management of externally sponsored programs and for the allocation of internal research support.

- (1) These policies and procedures shall, from time to time, be issued in the form of A Manual of Policies and Procedures for Research and Sponsored Programs at Rutgers University, as issued in September 1986 and revised in subsequent editions.
- (2) In addition to the regulations, policies, and procedures set forth in the University Policy Library, and unless otherwise contravened by explicit provisions of these Regulations, the policies and procedures delineated in the most recent edition of A Manual of Policies and Procedures for Research and Sponsored Programs at Rutgers University shall represent current University policy in areas which include, but are not limited to, the following: eligibility to apply for external support; prescribed application procedures, including endorsements from appropriate offices within the University; areas of special concern for externally and/or internally sponsored programs, which include, but are not limited to, human subjects, patents and copyrights, experimental animals, use of hazardous substances or procedures, classified research, research involving computer services and equipment, purchases of equipment, employment of consultants in sponsored programs, publication delays, proprietary information, possible misconduct in research, and the post-award fiscal and personnel management of external grants and contracts and of internal awards.
- (3) Within the limits of available resources, the University shall endeavor to support the research activities of faculty members; to extend these resources, the University shall provide supportive services and various forms of encouragement to obtain external sponsorship for research, instructional, and public service activities consistent with the mission of a public research institution. As a general guideline, the Manual states: "Funds from outside the University should not be sought or accepted merely because they are available; every project should be of such a nature that the University would support it if internal funds were adequate."
- (4) Certain offices charged with the administration of these policies and certain procedural matters are described in Section 10.1.9 of these Regulations. These offices include: The Office of Research Administration, the Division of Grants and Contracts Administration, the Office of Research Operations, the Office of Research Advancement, the Office of Research Compliance, the Office of Innovation and Technology Commercialization, and the Rutgers University Foundation.

B. The Research Advisory Board.

- (1) The Board shall advise the Vice President for Research on policy issues that are of special importance to the faculty, and it shall provide a forum for discussing faculty incentives and other means for enhancing the University's

research potentiality. As required by the Vice President for Research, it shall also investigate allegations of misconduct in research, according to the University's established procedures.

- (2) The membership shall include members of the faculty who are active both in research and in obtaining external research grants, and the following persons ex officio: the chairperson of the Institutional Review Board for the Protection of Human Subjects in Research; the chairperson of the Animal Care and Facilities Committee; the chairperson of the Research Council; the director of the Office of Research and Sponsored Programs; the Vice President for Research (chairperson).
- (3) The Board may adopt rules and regulations governing its procedures, subject to the approval of the Vice President for Research. It shall report to the President on its work as requested.

C. Research Misconduct

- (1) The Research Misconduct policy shall establish policy and procedures for the University's response to allegations, reports and apparent occurrences of research misconduct involving research for which the University is the applicant or grantee, or which is proposed or conducted by or under the direction of any employee or agent of the University in connection with his or her institutional responsibilities.