

1 **Research Objectives and Responsibilities**

2 Effective: Moved to Policy Library from UPM 9.2

3 Updated/Revised: March 31, 2009

4 Contact: [Vice President for Research](#)

5 **Introduction**

6 ISU encourages its faculty to actively engage in research and scholarly activities for the
7 advancement of knowledge and for the better understanding of our world and universe.

8 **Policy Statement**

9 **Research Objectives**

10 All research and sponsored projects must be consistent with the objectives of the university:

- 11 • The education of undergraduate, graduate, and postdoctoral students;
- 12 • The advancement of knowledge through research and scholarship; and
- 13 • The preservation and dissemination of knowledge.

14 The pursuit of these endeavors should result in the advancement of public welfare. All research shall
15 be based on sound scientific principles and must give the promise of making a significant
16 contribution to knowledge. The research must be judged to be appropriate to the capabilities of ISU.

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18 The availability of funds must not be the sole justification for accepting a sponsored project.
19 Research grants, contracts, or gifts will be accepted only when the research or activity contemplated
20 is believed to be of benefit to the university, the research endeavors of its faculty, the state of Iowa,
21 and/or the public in general, according to the above objectives.

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23 The Vice President for Research has the responsibility and authority for deciding whether a research
24 proposal is consistent with this policy.

25 **Research Responsibilities**

26 **Conformance with University Policies**

27 The terms of any grant, contract, or gift for research or other sponsored project must conform to
28 university policies and business procedures, and, in general, permit the university to exercise
29 administrative control and accountability for the proposed research.

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31 Responsibility for ensuring the compliance of any proposed research or sponsored project with the
32 foregoing provisions and for evaluating the suitability of the work proposed resides with the principal
33 investigator(s), the department chair, the collegiate dean or designee, and the university
34 administrative officers. Acceptance and discharge of this responsibility is indicated by signing the
35 Proposal Data Form (GoldSheet) attached to each research or sponsored project proposal.

36 **Principal Investigator (PI) Eligibility**

37 PI Eligibility Guidelines are available on the Office of Vice President for Research website (see
38 Resources below)

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40 To be eligible to serve as a PI, an individual must be a tenured or a tenure-track faculty member, a
41 Professional and Scientific (P&S) employee on a continuous appointment at the level of P17 or
42 above, or a non-tenure eligible research professor. Any individual who does not meet the
43 aforementioned qualifications must seek approval from the Vice President for Research.

44 **Proposals**

45 Any proposal for a project that will use ISU personnel or facilities must be approved by the Office of
46 Sponsored Programs Administration (OSPA) prior to submission. Proposals may be for support of
47 research, equipment, instruction, training, or other activities. This includes scholarship and fellowship
48 applications, and pre-proposals or letters upon which a grantor may base a decision to fund, if the
49 award will be made to the university (not directly to the individual).

50

51 For each project proposal requesting external funding, the Proposal Data Form (i.e., GoldSheet)
52 should be fully completed, reviewed and approved by all appropriate department/center/college
53 administrators, and submitted to OSPA at least five days prior to the application deadline to allow
54 sufficient time for review, corrections, and approval. Exceptions to the approval process are
55 determined by the director of OSPA in consultation with the department and college administrator(s)
56 involved.

57 **Financial Responsibility**

58 By accepting the terms and conditions of a sponsored project, the Principal Investigator(s) (PI(s)),
59 academic department/research unit, and administering unit identified on the GoldSheet accept all
60 financial responsibility for the award. This responsibility includes ensuring that all costs charged to
61 the award account are allowable and the treatment of direct and indirect costs is charged in
62 accordance with federal, university, and agency policies. These designated individual(s) and
63 administrative offices will be held responsible if any costs are later found to be unallowable or
64 inappropriate. Financial responsibility also extends to overdrafts caused by project cost overruns,
65 nonperformance, and uncollectible funds from sponsors.

66 **Resources**

67 **Links**

- 68 • [Contracts and Grants Expenditures – Allowability and Appropriateness](#)
- 69 • [Contracting at ISU](#)
- 70 • [PI Eligibility Guidelines](#)
- 71 • [Research-Related University Policies](#)
- 72 • [Sponsored Funding Proposal Process](#)
- 73 • [Office of Sponsored Programs Administration \(OSPA\)](#)
- 74 • [Vice President for Research](#)