

Policy 7-200: Research Administration Policy

Revision 0. Effective date: October 8, 2024

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I. Purpose and Scope

A. Purpose.

The University must have specific policies, rules, guidelines, and procedures to comply with its obligations to provide a common and current understanding of applicable processes and systems within the University of Utah. This Policy establishes a general research administration policy for the University, under which the University may establish rules, procedures, or guidelines related to research administration.

B. Scope.

The Vice President for Research (VPR) intends to utilize this policy administratively to codify and provide clarity and transparency on compliance and risk-related matters. The VPR supports academic freedom and the right to be free and unfettered in pursuing intellectual directions.

II. Definitions

The following definitions apply for the limited purposes of this policy and any associated regulations.

- A. "Sponsored Project" means funded research, instruction, training, testing, service, or any other scholarly activity in which a formal agreement, i.e., a grant, cooperative agreement, or contract is entered into between the University and the sponsor. In general, a sponsored project is an arrangement in which there is a specified statement of work for the University to execute with a related, reciprocal transfer or something of either tangible or intangible value for a public purpose or as a direct benefit to the sponsor.
- B. "Sponsor" means the individual, company, institution, or organization that takes on legal responsibility for the initiation, management, and/or financing of a sponsored project.
- C. "Other Research" means research supported through gifts, internal grants and university offices, and unfunded research projects.

III. Policy

- A. The Office of the Vice President for Research ("VPR") shares responsibility for establishing University-wide guidance and requirements governing a range of scholarly research, faculty support, and other academic activities. As such, the VPR, and other Institutional officers as appropriate, may establish and communicate:
 - 1. standards for the compliant conduct and administration of sponsored and other research projects;
 - 2. guidance on policy interpretation and sound grants and contracts management practices;
 - 3. roles and responsibilities of principal investigators, co-principal investigators, mentors, other project personnel, departmental/unit heads and administrators; and

4. functional roles and responsibilities of centralized research administration departments/units so the relationship to faculty, academic, and administrative departments and institutional roles and responsibilities are clear.
- B. The University will establish rules, procedures, or guidelines affiliated with this Policy through the process for creating and revising University regulations described in Policy 1-001, including but not limited to the following circumstances:
1. the University is required to comply with federal requirements;
 2. the University is required to have an Institutional policy or the like to comply with sponsor and other research requirements;
 3. the University benefits from uniformity in implementing and enforcing sponsor standards, as well as ethical research and industry best practices; or
 4. the University desires more visibility around its “official” position on a compliance issue and that position is not simply a description of a uniform federal requirement.

Sections IV-VII are for user information and are not subject to the approval of the Academic Senate or the Board of Trustees. The Institutional Policy Committee, the Policy Owner, or the Policy Officer may update these sections at any time.

IV. Policies/ Rules, Procedures, Guidelines, Forms, and other Related Resources

- A. Policies/ Rules. [*reserved*]
- B. Procedures, Guidelines, and Forms. [*reserved*]
- C. Other Related Resources. [*reserved*]

V. References

- A. [*reserved*]

VI. Contacts

The designated contact officials for this Regulation are as follows:

- A. Policy Owner(s) (primary contact person for questions and advice): Associate Vice President for Research Integrity & Compliance and the Executive Director of the Office of Sponsored Projects
- B. Policy Officer(s): Vice President for Research

See Rule 1-001 for information about the roles and authority of policy owners and policy officers.

VII. History

Revision History.

- A. Current version. Revision 0.
 - 1. Approved by the Academic Senate September 30, 2024 and Board of Trustees October 8, 2024 with effective date of October 8, 2024.
 - 2. Legislative History
 - 3. Editorial Revisions.
- B. Previous versions. Not applicable
- C. Renumbering. Not applicable