

## NOTICE OF PROPOSED REGULATION AMENDMENT

Date: September 16, 2009

**REGULATION TITLE:**

Sponsored Research

**REGULATION NO.:**

UCF-2.027

**SUMMARY OF REGULATION:** This regulation is amended to add that the Vice President for Research is responsible for preparing, negotiation, and implementing the administration and rate agreement with the cognizant federal agency. This regulation is further amended to expand on the role of Research in purchases under contracts and grants, to correct references to the appropriate office and officials, to make technical changes, and to change the regulation number.

**AUTHORITY:** BOG Resolution dated January 7, 2003

**NAME OF PERSON WHO INITIATED PROPOSED REGULATION AMENDMENT:**

Office of Research and Commercialization

**COMMENTS CONCERNING THE PROPOSED REGULATION AMENDMENT SHOULD BE SUBMITTED WITHIN 14 DAYS OF THE DATE OF THIS NOTICE TO THE CONTACT PERSON IDENTIFIED BELOW.** The comments must identify the regulation you are commenting on.

**THE PERSON TO BE CONTACTED REGARDING THE PROPOSED REGULATION AMENDMENT IS:**

Regulations Administrator  
4000 Central Florida Blvd.  
Millican Hall, Suite 360  
Orlando, FL 32816-0015  
Phone: (407) 823-2482  
Fax: (407) 823-6155  
e-mail: [regulations@mail.ucf.edu](mailto:regulations@mail.ucf.edu)

**FULL TEXT OF THE PROPOSED REGULATION AMENDMENT:**

**UCF-2.027 Sponsored Research.**

(1) Definition of Sponsored Research – Sponsored Research is research, as defined in paragraph (2)(a) below, executed by university employees using any university space, facilities,

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materials, equipment, or property, and which is financed by contract payments, grants, or gifts from any source.

(2) Policy statement – University of Central Florida will recognize and encourage sponsored research activity by its faculty members. Such activity is desirable for the following reasons:

(a) One of the principal objectives of the University is to encourage and support research (broadly interpreted as all forms of scientific inquiry, creative effort, and scholarly activity) by all interested faculty members pertinent to the role and scope of the University;

(b) The objectives of the University will be best fulfilled when it is engaged in a research program which continually promotes the professional development of the faculty and results in the improvement of the quality and scope of its educational program. To do less will jeopardize top level performance on the part of the University; and

(c) The ability to provide leadership (both academic and otherwise) in the community served by University of Central Florida will be strongly enhanced by a strong effective research program. The primary guiding consideration should be that all research must be closely integrated with and contribute to the objectives of the University, whether support comes from internal or external sources.

(3) Policy Guidelines.

(a) Sponsored Research and Training Programs will be administered as an integral part of the University to avoid any undesirable or inefficient separation of teaching and research.

(b) The responsibility for the sponsored programs of the University will reside in the Office of Research and Commercialization.

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(c) The Office of Research and Commercialization is to administer and promote the programs of sponsored research and training of the University.

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(d) Operating policies and procedures of the Office of Research and Commercialization will conform to those established by the University and the Board of Governors.

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(e) The Office of Research and Commercialization will act as a central clearing house for all outgoing proposals and all incoming grants and contracts.

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(f) Wherever possible, the administration of supporting services for sponsored research and training (purchasing, personnel, shop, maintenance, finance and accounting, etc.) will be provided within the usual University organization with as little duplication of effort as possible.

#### (4) Procedural Steps.

(a) The President will have final University authority and responsibility for Sponsored Research and Training Programs. The President or designee will approve, sign, and accept all grants and contracts for the University where required. Normally, approval, signatory and acceptance authority is delegated to the Vice President for Research.

(b) The Provost and Vice President for Research will have the authority and responsibility of coordinating research with the teaching program of the University. The Provost will review research proposals upon the request of the Vice President for Research.

(c) The Vice President for Research will approve all research grant and contract proposals after reviewing them to insure that they conform to University and Florida Board of Governors policies and State laws; that they are in proper form for submission to the potential sponsors, that they are conducive to promoting the best teaching and research interests of the University; and that implied or definite University commitment of funds, space, and personnel can be met. The Vice President of Research will:

1. Maintain information about potential sources of funds to support University Research. Communicate information about sources of support and research opportunities to the faculty;

2. Maintain records and information about the research programs of the University;

3. Prepare general reports of research activities required by the [Florida](#) Board of Governors, President, and other administrative officers of the University.

4. Conduct necessary negotiations of research contracts and grants and consummate applicable grants and contracts with funding agencies.

5. Prepare recommendations for the budgets for the operation of University Research, manage any University Research Trust Fund established, and review fiscal reporting.

6. Administer project initiation and termination and, where appropriate, internal disposition of property purchased with grant funds.

7. Coordinate the fiscal administration of research grants and contracts accounts and the purchasing from grants and contracts accounts.

8. Administer the University patent and copyright policies and negotiate patent and copyright matters as required.

9. Recommend appointment of and supervise all employees of the office.

10. Prepare for the President formal requests for acquisition of land, construction or remodeling of buildings, to be paid for with sponsored research funds.

11. Recommend research policy changes to higher authority.

12. Promote constant review of the administrative procedures governing Sponsored Research and related programs to insure that adequate service is provided to all principal investigators.

13. Administer any Surplus Property programs.

14. Prepare, negotiate, and implement the University of Central Florida's Facilities and Administrative Rate agreement with the University's cognizant federal audit agency.

(5) The University Comptroller will be responsible for contract & grant invoicing, record keeping, and accounting for all sponsored research funds in the Sponsored Programs Trust Fund. The Comptroller will maintain, in accordance with acceptable accounting practices, such records and make such reports as are required by Florida, Board of Governors policy, by applicable laws, by the granting agency, Vice President for Research and by the Vice President for Administration and Finance. The Vice President for Research and the Principal Investigator will be responsible for contract and grant budget control and for determining that expenditures are made in accordance with the terms of the grant or contract.

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(6) Purchases. The Director of Procurement will expedite the purchases made for the Office of Research and/or Principal Investigators. The Director will see that the purchasing requirements of the University and granting agencies are met. The Office of Research & Commercialization will expedite subcontract and service agreement purchases issued under contracts and grants in accordance with purchasing requirements of the University and sponsoring agencies.

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(7) Solicitation of Funds – Proposals for the solicitation of funds from agencies outside the University will be treated as follows:

(a) The Vice President for Research or other authorized persons may solicit research support, but all proposals for support must conform to University policy and must have the approval of the Vice President for Research or designee and will be transmitted to the granting agency by the Vice President for Research or designee. Acceptance of funds will be made by the Vice President for Research or designee on the President's behalf.

(b) The Principal Investigator will arrange with his Department Chairman and College Dean:

1. For a schedule of duties that will allow adequate time to carry out the proposed research program;

2. To obtain approval that the proposed research is in the best interests of the Department, the College, University of Central Florida, and the State of Florida, and;

3. For assurance that facilities of the Department are adequate and available for the proposed research or that adequate facilities can be provided.

(c) Proposals will be further reviewed by the Vice President for Research or designee to see that the research is appropriate to the role and scope of the University and to its goal of service, good teaching, and the advancement of knowledge, and that the proposed contract or grant is legally and fiscally sound.

(d) Negotiations of research contracts and grants will be made between the University and the agency. The Vice President for Research or designee will be responsible for the University negotiations in all matters affecting the substance of the research to be conducted and associated fiscal matters. The approval of the Principal Investigator will be obtained before final submission to the agency.

(e) Upon acceptance of a grant or contract by the President or the Vice President for Research, the Vice President will issue authorization to the University Comptroller to establish the necessary accounts for the project and designate the Principal Investigator.

(f) The Principal Investigator will carry out the project in accordance with provisions of contract or grant document.

(g) The Principal Investigator forwards copies of all reports required by the granting agency to the Office of Research in addition to copies of pertinent correspondence.

(h) All personnel engaged on funded projects will respond to the Office of Research on all pertinent matters such as security classifications, the use of human subjects, animal housing, and patent and copyright matters as required by the policy of the Florida Board of Governors, University of Central Florida, and the funding agency.

(i) Upon completion of the project, the filing of final reports with the granting agency, the Vice President for Research will issue authorization to the University Comptroller to deactivate the project account(s).

(8) Reporting.

(a) Annual Report.

1. An annual report of the operations and activities of the Office of Research and Commercialization, shall be prepared and presented to the Chancellor for transmittal to the Chairman of the Appropriations Committee of each House of the Florida Legislature, not less than ninety (90) days prior to the convening of each regular session of the Legislature. A copy of the report shall be furnished by the state Board of Education and to the Governor, as the Chief Budget Officer of the State.

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2. The annual report shall include an estimated budget for the next year.

(b) The Office of Research and Commercialization shall prepare semiannually a survey of its activities for transmission to the Florida Board of Governors, in conformance with specifications of the Board.

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**Deleted:** through the President of the University. Reports to the Board of Governors shall conform to

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Authority: ~~BOG Regulation 1.001. History—New 10-8-75, Amended 6-17-82, Formerly 6C7-2.27,~~

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~~Amended 4-23-03; Formerly 6C7-2.027, Amended \_\_\_\_\_-09.~~