

8.3.1 Sponsored Funding of Projects

It is the policy of Iowa State University to review all proposals for sponsored funding of projects and to accept them only if they meet the University's standards.

8.3.1.1. Introduction

Iowa State University receives financial support from a variety of federal, state, and private sponsors of projects. Grants, contracts, or gifts will be accepted only when the project is believed to benefit the University, the State of Iowa, and/or the public in general. ISU is not obligated to accept all sponsorship conditions nor is it obligated to accept projects it deems at odds with its fundamental principles. The availability of funds cannot be the sole justification for undertaking projects. The University has enacted specific policies and procedures for the review of proposed projects and has established conditions under which it will accept sponsored funding of a project to protect the integrity of its programs, to ensure that projects adhere to appropriate legal, quality, and ethical standards of conduct, to ensure adherence to all applicable federal and state laws, and to ensure adherence to appropriate standards of safety. ISU will review the terms of all proposed projects to determine whether the project conforms to the usual University policies and business procedures, permits the University to exercise administrative control and accountability for the proposed project, and adheres to appropriate legal, quality and ethical standards of conduct and safety.

As a public university ISU is dedicated to the principle of free and open dissemination of scholarship and all projects must be reviewed to ensure that they protect the publication rights for faculty, staff, and students. Publication restrictions may place a faculty, staff, or student's academic career in jeopardy. Publication restrictions in a project may place the results and related technical information within the requirements of export control laws. If a project is determined to be subject to export control restrictions, the project must comply with the [University's Export Control Policy](#).

These policies apply to all university activities except for projects administered by the Ames Laboratory. The Ames Laboratory has its own policies and procedures for reviewing and approving projects and is also subject to additional Department of Energy regulations. ISU Faculty and/or staff conducting projects administered by the Ames Laboratory will be governed by the Ames Laboratory policies and procedures.

8.3.1.2. Review of Proposals for Sponsored Funding

The purpose of this policy statement is to outline the conditions under which ISU will accept sponsored funding of projects and to describe the process whereby proposed sponsored projects are reviewed and approved. All proposed projects are assigned to a review category depending on the nature of the proposed project and/or on the restrictions on publication and/or dissemination proposed by the sponsor either at the time the proposal is submitted (if known at that time) or during the acceptance or negotiation of the award. Projects in each category must go through a specific review and approval process before ISU will agree to accept the project.

8.3.1.2.1. Standard projects

Projects in this category are projects for which the sponsor does not seek or require a restriction on the rights of publication or dissemination beyond a 120-day review period of a publication or of dissemination of results. This review period is for the purpose of determining whether the findings of the project may lead to the filing of a patent application or to ensure that none of the sponsor's proprietary information is inadvertently disclosed. The sponsor does not seek or require the right to permanently block or restrict publication beyond the review period. Additional information can be found at the following sites:

- http://www.ospa.iastate.edu/Policies/docs/Gift_or_Sponsored_Project_final.pdf
- <http://www.adp.iastate.edu/vpbf/prod/docs/upm/chap9.htm>

8.3.1.2.2. Proprietary projects

Proprietary projects involve proprietary information and/or materials provided by the sponsor. A project involving proprietary materials for which the sponsor does not seek or require a restriction on the rights of publication or dissemination beyond a 120-day review period of a publication or of dissemination shall be reviewed in the same manner as a standard project. It is the policy of ISU not to accept awards for proprietary projects for which the sponsor seeks or requires a delay in publication or dissemination of more than 120 days or seeks an absolute right to block or prohibit publication. A request for an exception to this policy must be approved by the Vice President for Research and Economic Development and by the Executive Vice President and Provost of the University. Such requests must have a compelling reason for approval. The simple existence of funds to support the project is not of itself a compelling reason. Additional information is found in the [University Policy Manual](#).

8.3.1.2.3. Classified projects

Classified projects involve a subject or materials that have been classified by the federal government as top secret, secret, classified, or which have been placed in a category restricting their import or export. Classified projects entail restrictions on the personnel who can be involved in the project, on the operations of the group, on the procedures used, on the facilities used, and on the dissemination of the results and/or products of the project. It is the policy of ISU not to accept proposals for classified projects with such restrictions. A request for an exception to this policy must be approved by the Vice President for Research and Economic Development, by the Executive Vice President and Provost, and by the President of the University. Such requests must have an overwhelming reason for approval. The simple existence of funds to support the project is not an overwhelming reason. These and other restrictions may place the project results and related technical information within the requirements of federal export control laws. If a classified project is determined to be subject to export control restrictions, the project must comply with the University's Export Control Policy. Additional information can be found at the following sites:

- <http://www.adp.iastate.edu/vpbf/prod/docs/upm/chap9.htm>, Sections 9.13, 9.2
- http://www.vpresearch.iastate.edu/docs/policies/isuexportpolicy04_2_.pdf

8.3.1.2.4. Weapons Research

Iowa State University regularly accepts projects funded by agencies such as the Department of Defense that have a wide variety of military purposes as well as applications in the civilian economy. However, the policy of Iowa State University is to not accept any project whose stated goal is the construction of nuclear weapons, or of agents for chemical or biological warfare.

8.3.1.2.5. Fee for service projects

Fee for service projects are projects in which ISU personnel carry out specific tasks for external sponsors that are of a service nature. These projects are not considered research projects and the generation of new knowledge or new intellectual property is not the primary goal. These projects are considered service activities and are a valuable part of the ISU Land Grant Mission. Fee for service activities must meet the guidelines set out by the [Office of Sponsored Programs Administration](#) and must be reviewed and approved by the [controller's office](#) following standard procedures.

8.3.1.2.6. Personal Consulting

ISU endorses and encourages faculty and staff to participate in consulting activities. Such consulting is a way to provide service to ISU's community and to enhance the expertise of the faculty and staff. Consulting projects undergo a separate review process to ensure the proposed activity does not impede or interfere with the faculty or staff member's assigned duties, and that use of campus resources is consistent with ISU policies. Faculty and staff must follow the ISU rules for reporting consulting activity.

If consulting projects are to involve students, the project must have a plan showing how the academic advancement of the students will not be harmed. If the proposed work is part of the student's academic work, the plan must show how publication and/or dissemination of the results of the project will be permitted. This plan must be approved by the student's department chair and a copy must be given to the student. Additional information can be found at the following sites:

- <http://www.adp.iastate.edu/vpbf/prod/docs/upm/chap3.htm>
- *Faculty Handbook*, Section 8.2.2.6
- http://www.techtransfer.iastate.edu/en/for_iowa_state/our_policies.cfm

8.3.1.2.7. Other types of projects

For some proposed projects it may not be apparent which category of review is appropriate. Such proposed projects may be referred to the Faculty Senate Research Advisory Committee, which will make a recommendation to the Vice President for Research and Economic Development as to what category the proposed project should be placed in for review. The committee will not make a recommendation as to whether or not the project should be accepted.