

## Research Policies

*Annual Disclosure Statements of External Interests and Time Commitments* – See **Conflicts of Interest Policy** in this section.

### *Classified Research*

Following is the text of Cornell University Guidelines on Sensitive and Proprietary Research, adopted by the Cornell Research Council on May 20, 1985 and subsequently updated by the Office of the Vice Provost for Research.

#### Guidelines on Sensitive and Proprietary Research

Given the open nature of Cornell University, research projects which do not permit the free and open publication, presentation, or discussion of results are not acceptable. Nor will the university enter into any agreements unless the principal and co-principal investigators have the final authority on what is to be published or presented. In particular, research which is confidential to the sponsor or which is classified for security purposes is not permitted at Cornell University.

The university will accept only sponsored research projects which are expected to further the research and educational mission of the institution. While a sponsor may delineate the areas of research to be supported, the principal and co-principal investigators must have final authority for decisions on the course of the research program within these limits. The principal and co-principal investigators must also have final authority regarding employment of personnel for the project. In particular, research that is subject to a sponsor's approval of personnel is not permitted at the university.

Recognizing the equity due the sponsor in the support of the research, the university will permit the principal and co-principal investigators to agree to present manuscripts to the sponsor for advice and comment thirty days prior to submission for publication. Beyond the thirty days, delays of up to three months are acceptable on the basis of a formal request from the sponsor. The university will put forth its best efforts to abide by agreements involving delays in publication or presentation.

While the results of all university research are open, principal and co-principal investigators may be given classified or proprietary information by a sponsor when such information would be useful background material to the research effort. Such information must be identified as such in writing when transmitted and the condition of its acceptance specified. The university will use its best efforts to prevent inadvertent disclosure of such information, but cannot accept a legal responsibility for such disclosure.

This policy does not imply restrictions on a Cornell faculty member's doing work individually as a consultant to government agencies and other sponsors on classified matters. Such consulting arrangements will necessarily be developed on an individual basis and should, of course, be in accord with general Cornell policies on consulting (explained in this section). They cannot involve receipt and storage of classified documents on the university campus.

#### *Export Controls Affecting University Research and Scholarly Activities*

“Export Controls” are those federal laws and regulations that govern the transfer (export or import) or disclosure of goods, technology, information, software, services, and funds originating from the United States to persons or entities in foreign countries OR to non-U.S. persons anywhere, including Cornell (which is deemed to be an export to the country of that person’s most recently acquired citizenship). Faculty must understand and abide by the control and licensing regulations. The Office of Research Integrity and Assurance supports faculty in this understanding and in complying with these regulations. Primers, decision trees, references, and contact information to assist faculty can be found at <http://www.oria.cornell.edu/export/>, and faculty should reference this information prior to travelling abroad, purchasing or using research equipment, or sharing technology or technical data with a non-U.S. person.

#### *Freedom in Research*

On May 10, 1989, the Faculty Council of Representatives (forerunner of the current Faculty Senate) adopted a resolution which endorsed the right of faculty to pursue research of their choosing, as long as that research is within the guidelines of scholarly quality, is accessible to all interested scholars and is in compliance with the laws of the land. They recognized that the research of a faculty member may be controversial from the moral, ethical, sociological or political viewpoint of others and therefore a faculty

member should not be seen as implicating others in the university. Likewise, those who oppose research of a particular kind should be free to express their opposition to it.

Individual faculty members are encouraged to speak out on behalf of a fellow faculty member's academic freedom, either individually or through the Faculty Senate and its committees. Further, the provost, in response to this action, has asked the dean of faculty to provide the strongest support for faculty who are threatened or harassed, on the campus or elsewhere, because of research or other scholarly activities. Threatened or harassed faculty should seek assistance through the Dean of Faculty.

### *Openness in Research*

On September 13, 2006, the Faculty Senate affirmed the Policy of Openness in Research and Public Disclosure of Sponsorship of Research. Cornell University has a tradition of free and open research dating from 1948, and a settled tradition since 1954 of publishing a detailed list of research projects. It is the policy of Cornell University that a listing of all Sponsored Program awards will be made publicly accessible and updated on a regular basis (ideally monthly) giving the name of the Principal Investigator, the name of the unit administering the award, the name of the sponsoring agency (or organization) of the award, the project title, and the amount of the award. Cornell University will decline awards if a sponsoring agency is unwilling to be listed by name.

### *Research Involving Biohazardous Materials*

Federal and state regulations specify compliance of all activities involving biohazardous materials and the facilities used to conduct such work. The university is required to maintain a monitoring committee that inspects facilities, gives initial review and approval of proposed experiments, and provides assurance to granting agencies that the regulations and guidelines will be followed. The Institutional Biological Safety Committee (IBC) was established for this purpose, and all work involving hazardous materials must be reviewed and approved by the IBC before the university can accept an award from a granting agency or the research can be initiated. The Office of Research Integrity and Assurance (ORIA) provides the necessary staff and administrative assistance for the committee and Office of Environmental Health and Safety provides technical expertise and advice as necessary. Please see the IBC website at <http://www.ibc.cornell.edu/>.

### *Research Involving Human Participants*

All research that involves human participants (interaction with, observation of and/or

accessing data from or about human participants) must be reviewed and approved by the Institutional Review Board for Human Participants (IRB) **before** the research can begin. Research would include the systematic collection of data for use in publications, presentations, and/or inclusion on any website. The IRB operates under the authority of the Federal Wide Assurance that is negotiated with the Office for Human Research Protection. A Cornell University institutional policy provides the same level of protection for all research participants regardless of the sources of support that is used to support the research. The policy is designed to safeguard the health and rights of the research participants, but it also supplies protection to the Cornell investigators and makes the university eligible to accept federal support for research involving human participants. Information on human participant research may be obtained on the IRB web pages at <http://www.irb.cornell.edu/>.

The policy requires that all research activities involving human participants be under the supervision of a Cornell faculty member who has primary responsibility for complying with the requirements of the IRB.

#### Data Collection through Surveys and Questionnaires:

Concern for the protection of the rights of privacy and a respect for human dignity are essential considerations in programs of data collection through surveys and questionnaires.

1. Questionnaires and surveys directed toward employees must be approved in advance by the Vice President for Human Resources in addition to the approval of the IRB.
2. Questionnaires and surveys directed toward members of the University Faculty must be approved in advance by the Dean of the University Faculty in addition to the approval of the IRB.
3. Questionnaires and surveys to which students will be asked to respond must be approved in advance by the Dean of Students' Office in addition to the approval of the IRB.

#### *Research Involving Vertebrate Animals*

All research, teaching, testing, and/or use of vertebrate animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC) before the activities can be initiated. The IRB operates under the authority of the U.S. Department of Agriculture and the Animal Welfare Assurance that is negotiated with the Office for

Laboratory Animal Welfare. The policy is designed to safeguard the welfare of vertebrate animals and makes the university eligible to accept federal support for research involving vertebrate animals. Information on the use of vertebrate animals in research, teaching, testing, and/or use may be obtained on the IACUC web pages at <http://www.iacuc.cornell.edu/>.

### *Salary Recovery and Summer Salary*

**Salary Recovery:** Faculty members may charge a portion of their academic year salaries directly to research grants and contracts. This situation in no way modifies the commitment of the university to tenured faculty members.

The salary and fringe employee benefits charged to a research grant or contract during the period (nine or twelve months per year) of a faculty member's full-time appointment do not flow to the faculty member as extra compensation, since they represent remuneration for work done during the time of the faculty member's obligation to the university. If discretionary funds would have normally paid for the academic year salary, with approval of the college and department, all or part of these funds (i.e., the "salary recovered") may be placed in university accounts under the jurisdiction of the faculty member and expenditures therefrom used for any legitimate university purpose.

**Summer Salary:** Faculty members on nine-month appointments may receive a summer salary from sponsored funds for time spent during the summer period on the associated sponsored projects, subject to sponsor approval, restrictions, and available funds. Since these faculty members are not otherwise obligated to the university during the summer months, such salaries are considered to be additional to the annual compensation.

Summer salary is paid at the rate of one-ninth of the ensuing academic year institutional base salary for each month worked during the summer period. The normal maximum period for charging summer salaries to sponsored projects is two and one-half months (see **Supplemental Summer Employment** in section 2.1).

Faculty wishing to receive more than 2.5 months of summer salary, irrespective of source of funds, must complete the University's Summer Salary Request and Attestation form to obtain the explicit approval of their college dean and to verify their compliance with regulations and policy regarding summer salary, including the items below. Guidance can be found at

[https://ovpr.research.cornell.edu/Policies/images/pdfs/Summer\\_Salary\\_RAB\\_May09.pdf](https://ovpr.research.cornell.edu/Policies/images/pdfs/Summer_Salary_RAB_May09.pdf)

and

[http://www.research.cornell.edu/VPR/policies/images/pdfs/Summer\\_Salary\\_RequestAttest.pdf](http://www.research.cornell.edu/VPR/policies/images/pdfs/Summer_Salary_RequestAttest.pdf).

### *Sponsored Research Expenditures*

Research expenditures cover the costs of direct outlays for equipment; stipends and tuition for research assistants; salaries for postdoctoral associates and other members of the research staff; summer salaries and fringe employee benefits for faculty members; and indirect expenditures attributed to libraries, shops, buildings and other general facilities and administrative support services necessary to the research enterprise. Consistent with federal regulations, sponsored funds may only cover the direct costs of the project activity. As such, the cost of proposal preparation, teaching, or administrative activities may not be charged to a sponsored award, unless prior approval has been received from the sponsoring agency.

Some of the grants and contracts are sought and administered by centers and other campus research organizations other than departments or colleges. These grants and contracts support the work of numerous faculty members and provide special shared facilities that would otherwise be unavailable. Nevertheless, faculty members who are active in research must expect to seek and apply for most of their own supporting funds. Those who are about to do this for the first time are advised to consult with their department heads or directors and with senior faculty members concerning the proposed projects, to benefit from their experience in selecting likely sources of support and effective approaches to follow, as well as in designing research proposals. Several of the colleges maintain research offices that assist members of their faculty to attract research funds.

The proposer of a research project is usually named as the principal investigator or coinvestigator on the project. Research grants are made to the university and applied for in the name of the university (rather than to, and in the name of, the individual researcher), with the university's endorsement. Thus the university takes responsibility for the legitimacy of the project and the administration of funds. For this reason the approval of the Office of Sponsored Programs is necessary before a research proposal is submitted to a granting agency. Signatures of approval are also required from the relevant dean and department chairperson or director to ensure that the project's goals and source commitments are consistent with those of the relevant academic units. The Office of Sponsored Programs is also the entity authorized to negotiate and execute sponsored awards to the institution. The Office of Sponsored Programs publishes a Guide to Proposal Preparation and Submission, copies of which are available to faculty and other interested parties. See the Office of Sponsored Programs website at

<http://www.osp.cornell.edu>. To ensure that financial reporting for sponsored projects is consistent with the official records of the university, it is performed by Sponsored Financial Services. For further information, see <https://www.dfa.cornell.edu/sfs>.

### *Use of University Facilities*

The use of University facilities for research and other purposes is guided by the following policy, which was adopted by the Board of Trustees in 1970 and subsequently amended in 1986:

a. General

The property, facilities, and services of Cornell University are for the conduct of instruction, research, general university programs and related administrative uses. No use of university property, facilities, or services shall be permitted which interferes with the conduct of these functions or which is inconsistent with university status as a tax-exempt educational institution.

b. Registered Organizations/Nonuniversity Organizations:

Duly registered organizations, or students, faculty or employees in good standing, may use university buildings and grounds for meetings and events which are limited to members of the university community. When these registered organizations desire to use university facilities for meetings or events which are open to persons other than members of the university's faculty, staff and/or student body, they shall first obtain approval from the university administration before any arrangements are made, including the inviting of speakers, performers or other principals.

Nonuniversity organizations may use university facilities for meetings and events if they are sponsored by a recognized campus organization, they have the prior approval of the university administration, and they are consistent with the university's purposes.

c. Use by Nonuniversity Personnel of University Research Facilities:

The public policy of the state and nation now recognizes and encourages cooperation by institutions of higher education with the industrial and

manufacturing sectors in the promotion of advanced study and research and the rapid dissemination of knowledge that will enhance productivity and contribute to the economic development of the state and nation. In furtherance of this policy, Cornell is taking steps, utilizing its research centers and other means to forge an interdisciplinary partnership between the university, industry and government. This statement amends and clarifies university policy as it relates to use of university research facilities by non-Cornell personnel.

University research facilities exist primarily to further free and open inquiry by Cornell faculty, students and staff. Other uses are of secondary importance. In general, non-Cornell personnel using university facilities are expected to abide by the same policies as university personnel. Proprietary use of university facilities by such people is therefore not usually permitted. In exceptional cases where the best interests of the university and the other parties would be served by use of university facilities by outside persons for proprietary or confidential purposes, the vice president for research may grant permission by petition after consultation with the vice president for administration and university counsel respectively regarding financial and legal implications. Any such use should be conditioned upon the execution of an agreement by the user which will protect the financial and legal interests of the university. Approval of such petitions shall be regularly reported to the Faculty Council of Representatives' Committee on Research Policies by the Vice President for Research. In considering such requests, the vice president will apply the following criteria:

- i) Such use must support the educational and research mission of the university.
- ii) There must be a clear need to carry out the proposed work at Cornell.
- iii) A proposal or abstract describing in general terms the purpose of the proprietary work to be done must be submitted for review through the normal channels for use of the facility, e.g. a local review committee. The proposal should be judged for merit and appropriateness for the facility in question, on the same grounds as nonproprietary work. If the proposal is passed, it becomes part of the public record in the facility. That is, the existence of proprietary use of a Cornell facility may not be kept secret.



- iv) All details of the proprietary work to be done (including confidential information) that are relevant to the safety of personnel or of the facility must be made available and approved by the university officer in charge of the facility (e.g. the laboratory director) prior to final approval of the project. The university officer will assure that the proposed work conforms to usual safe operating procedures but will not divulge technical aspects of the work which are confidential.
  
- v) Involvement of University Faculty, students or staff in the proprietary work is limited to the normal facility support services provided for all users.
  
- vi) There will be no difference in the operating personnel or procedures of the facility for proprietary or nonproprietary work. There will be no special security precautions, no special access restrictions, no personnel clearance requirements. Users of university facilities for proprietary work will have to accept this risk of disclosure.
  
- vii) The organization performing the proprietary work must pay Cornell appropriate costs of the use of the facility.
  
- viii) Only a small fraction (usually not more than ten percent) of the use of the facility shall be devoted to proprietary purposes.