



**Stanford University**  
**RESEARCH POLICY HANDBOOK**  
**Table of Contents**

---

**1. OFFICES, COMMITTEES, AND PANELS THAT SUPPORT RESEARCH**

- 1.1 COMMITTEES, COUNCILS AND GOVERNING BOARDS, *November, 1995*
- 1.2 CHARGE TO THE COMMITTEE ON RESEARCH, *October 12, 2000*
- 1.3 OFFICE OF SPONSORED RESEARCH, *January 23, 2001*  
See also: *Office of Research Administration Home Page*
- 1.4 ADMINISTRATIVE PANELS FOR RESEARCH COMPLIANCE, *November, 1995*  
See also: *Research Compliance Office Home Page*  
*Schedule of Research Compliance Panel Meetings*
- 1.5 CONFIDENTIALITY OF ADMINISTRATIVE PANEL PROCEEDINGS, *April 29, 1996*

**2. ACADEMIC POLICIES**

- 2.1 PRINCIPLES CONCERNING RESEARCH, *October 11, 2007*
- 2.2 RIGHTS AND RESPONSIBILITIES IN THE CONDUCT OF RESEARCH, *November, 1995*  
See also: *Administrative Guide Memo 15, "Code of Conduct for Business Activities"*
- 2.3 ACADEMIC FREEDOM, *April 16, 1998*
- 2.4 PRINCIPAL INVESTIGATORSHIP (PI) ELIGIBILITY AND CRITERIA FOR EXCEPTIONS,  
*February 5, 2004*
- 2.5 RESEARCH MISCONDUCT: POLICY ON ALLEGATIONS, INVESTIGATIONS, AND  
REPORTING, *May 1, 2006*
- 2.6 OPENNESS IN RESEARCH, *May 31, 2007*  
See also: *Openness in Research checklist*
- 2.7 MULTI-AUTHORED RESEARCH PAPERS, *November 30, 1989*
- 2.8 ON ACADEMIC AUTHORSHIP, *September, 1985*
- 2.9 ESTABLISHMENT OF INDEPENDENT LABORATORIES AND CENTERS AT STANFORD  
UNIVERSITY, *October 29, 2007*  
See also: - *Guidelines for the Establishment and Review of Centers at Stanford University*  
(Attachment A to the 1996-97 Annual Report of the Committee on Research)  
- *Proposal template for new Independent Lab, Center or Institute*
- 2.10 RETENTION OF AND ACCESS TO RESEARCH DATA, *October 30, 1997*
- 2.11 RELATIONSHIPS BETWEEN STUDENTS (INCLUDING POSTDOCTORAL SCHOLARS)  
AND OUTSIDE ENTITIES, *November 2, 1999*

### 3. FINANCIAL ASPECTS OF SPONSORED PROJECT ADMINISTRATION, INCLUDING INDIRECT COSTS

SEE ALSO: *Administrative Guide Memo 1*, "Code of Conduct for Business Activities"  
*Administrative Guide Memo 34.5*, "Cost Policy"  
*Cost Policy*, FIN class required for signature authority

- 3.1 FISCAL RESPONSIBILITIES OF PRINCIPAL INVESTIGATORS (PIs), *February 1, 2006*  
See also: *Stewardship and Compliance for Stanford PIs*, a required review
- 3.2 DEFINITIONS AND CATEGORIES OF SPONSORED PROJECTS, *June 10, 2009*  
ATTACHMENT A: Checklist for Determining Whether Funding is a Gift or Support  
For a Sponsored Project  
See also: *Conditions of Gift Award letter*, a template for gift awards  
*Gift Administration at Stanford*, a required tutorial
- 3.3 FACILITIES & ADMINISTRATIVE (INDIRECT COST) AND FRINGE BENEFITS RATES:  
Definitions and Calculations, *January 22, 2003*  
See also: Current F&A (Indirect Cost) and Fringe Benefits Rates
- 3.4 CLASSIFICATION OF SPONSORED, UNIVERSITY AND DEPARTMENTAL RESEARCH,  
*March 1, 2000*
- 3.5 COST SHARING: STANFORD UNIVERSITY POLICY AND PROCEDURE , *Dec 21, 1999*  
ATTACHMENT A: Federal Requirements for Cost Sharing  
ATTACHMENT B: Cost Sharing Authorization Form, *May 1998*  
See also: *Cost Sharing Resource Page*  
*Cost Sharing Implementation Guidelines: Questions and Answers Cost Sharing*  
*Charging of Deans' Effort/Salary*, memo from Charles Kruger and Geoff Grant,  
March 5, 1999
- 3.6 CHARGING FOR ADMINISTRATIVE AND TECHNICAL EXPENSES, *January 1, 2007*  
See also: *Administrative Charging Resource Page*  
*Administrative Charging Implementation Guidelines*
- 3.7 SUBAWARDS, *February 22, 2006*
- 3.8 SALARY CAP ADMINISTRATION, *February 1, 2000*  
See also: *Salary Cap Resource Page*  
*Paying Faculty Checklist*, Payroll Manual
- 3.9 TUITION ALLOWANCE FOR RESEARCH ASSISTANTS, *March 15, 2003*  
  
See also: *Estimated Tuition Charges for Sponsored Projects*  
*Minimum Salary Rates for Graduate Student Research and Teaching Assistants*
- 3.10 INDIRECT COST WAIVERS, *September 18, 2008*
- 3.11 INDIRECT COST WAIVERS ON UNDERGRADUATE STUDENT SALARIES CHARGED TO  
SPONSORED PROJECTS, *April 15, 1999*
- 3.12 CONTROL OF PROPERTY, *September 1, 2003*  
See also: *Stanford Equipment Administration Manual*  
*Capital Asset Purchase*, Controller's Office memo
- 3.13 COST TRANSFER POLICY FOR SPONSORED PROJECTS, *April 1, 2009*

### 4. CONFLICTS OF INTEREST AND NON-STANFORD PROFESSIONAL ACTIVITIES

- 4.1 FACULTY POLICY ON CONFLICT OF COMMITMENT AND INTEREST, *December 2, 2004*  
See also: *Administrative Guide Memo 1, "University Code of Conduct"*  
*Administrative Guide Memo 15.2, "Staff Policy on Conflict of Commitment and Interest"*
- 4.2 PHS AND NSF REQUIREMENTS REGARDING FINANCIAL DISCLOSURES AND AGENCY NOTIFICATIONS, *April, 2006*
- 4.3 OUTSIDE CONSULTING ACTIVITIES BY MEMBERS OF THE ACADEMIC COUNCIL, *May 10, 2003*
- 4.4 CONFLICT OF COMMITMENT AND INTEREST FOR ACADEMIC STAFF, *October 1, 1999*
- 4.5 UNIVERSITY INVESTMENTS IN START-UP COMPANIES INVOLVING STANFORD FACULTY, *April, 1994*
- 4.6 EQUITY ACQUISITION IN TECHNOLOGY LICENSING AND DISTANCE LEARNING AGREEMENTS, *MAY 1, 2001*
- 4.7 INSTITUTIONAL CONFLICT OF INTEREST IN RESEARCH INVOLVING HUMAN SUBJECTS, *January 12, 2009*

## 5. INTELLECTUAL PROPERTY

See also: *Stanford Office of Technology Licensing Home Page*  
*Intellectual Property Resource Page*

- 5.1 INVENTIONS, PATENTS AND LICENSING, *July 15, 1999*  
See also: *Patent and Copyright Agreement for Personnel at Stanford (SU-18)*, *December, 1997*  
*Patent and Copyright Agreement for Personnel at Stanford who have a Prior Existing and Conflicting Intellectual Property Agreement with Another Employer (SU-18A)*, *December, 1997*  
*Intellectual Property Agreements for Non-Stanford Personnel*, *Memo from Arthur Bienenstock*
- 5.2 COPYRIGHT POLICY, *December 22, 1998*  
See also: *Stanford Patent and Copyright Agreements, SU-18 and SU-18A*, referenced above
- 5.3 TANGIBLE RESEARCH PROPERTY, *September 1, 1983*

## 6. ENVIRONMENTAL HEALTH & SAFETY

See also: *Administrative Guide*, Series 25 Memos

- 6.1 CHARGE TO THE UNIVERSITY COMMITTEE ON HEALTH AND SAFETY, *August, 1999*
- 6.2 HEALTH AND SAFETY AT STANFORD UNIVERSITY: PRINCIPLES, RESPONSIBILITIES AND PRACTICES, *April, 1991*
- 6.3 EMERGENCY AND HAZARDOUS MATERIAL RELEASE RESPONSE, *May 20, 1993*
- 6.4 EMERGENCY AND HAZARDOUS MATERIAL RELEASE RESPONSE FOR THE SCHOOL OF MEDICINE, *May 20, 1993*
- 6.5 CHANGES IN THE UNIVERSITY'S LABORATORY ANIMAL OCCUPATIONAL HEALTH PROGRAM (LAOHP), *August 13, 2007*  
Supplement: GUIDELINES FOR VISITORS IN ANIMAL HOUSING AND USE AREAS

## 6. ENVIRONMENTAL HEALTH & SAFETY (continued)

- 6.6 CHEMICAL HYGIENE PLAN AND CHEMICAL HAZARD COMMUNICATION POLICY, *November, 1995*
- 6.7 RADIOLOGICAL HAZARDS, *March, 1989*  
See also: *Radiation Safety Manual*
- 6.8 LASER SAFETY, *November, 1990*  
See also: *Stanford Laser Safety Manual*
- 6.9 BIOHAZARDOUS AGENTS AND RECOMBINANT DNA , *September 13, 1995*  
APPENDIX A: Classification of Biohazardous Agents, *March, 1995*  
APPENDIX B: Classification of Recombinant DNA Experiments, *March, 1995*  
See also: *Protocol Forms* , *Biosafety and Biological Waste*
- 6.10 SLAC POLICIES ON HEALTH AND SAFETY, *November, 1995*  
See also: *Environment, Safety and Health Office, SLAC*

## 7. USE OF HUMAN SUBJECTS IN RESEARCH

- See also : *Administrative Panel on Human Subjects in Medical Research Protection of Human Subjects in Research*, a required tutorial  
*Protocol Entry System for Human Subjects*
- 7.0 HUMAN RESEARCH PROTECTION PROGRAM, *September 15, 2005*  
See also: *Human Research Protection Program (HRPP) Manual*
- 7.1 FEDERALWIDE ASSURANCE OF PROTECTION FOR HUMAN SUBJECTS, *March, 2009*
- 7.2 WOMEN AS SUBJECTS IN RESEARCH), *February 10, 1995*
- 7.3 USE OF HUMAN SUBJECTS IN STUDENT PROJECTS, PILOT STUDIES AND ORAL HISTORIES (NON-MEDICAL), *January 30, 2006*
- 7.4 NONE (incorporated into document 7.3 above)
- 7.5 USE OF EMPLOYEES OR LABORATORY PERSONNEL AS RESEARCH SUBJECTS, *Oct. 10, 2001*
- 7.6 GUIDELINES FOR STUDIES INVOLVING HUMAN VOLUNTEERS RECEIVING POTENTIALLY ADDICTING DRUGS, *September, 1996*
- 7.7 PROTECTION OF HUMAN SUBJECTS IN RESEARCH, *September 27, 2001*

## 8. USE OF LABORATORY ANIMALS IN RESEARCH

- See also : *Protocol Forms*  
*Research Compliance Office, A-PLAC Page*  
*Lab Animals Resource Page*

- 8.1 ANIMAL WELFARE ASSURANCE OF COMPLIANCE, *May 18, 2009*
- 8.2 USE OF VERTEBRATE ANIMALS IN TEACHING ACTIVITIES, *April 6, 1989*
- 8.3 RESPONSIBILITIES FOR THE CARE AND TREATMENT OF LABORATORY ANIMALS,  
*December 12, 2003*
- 8.4 TRANSPORT, CARE, AND USE OF NON-STANFORD OWNED LABORATORY  
ANIMALS ON THE STANFORD CAMPUS, *February 1, 1996*
- 8.5 ANIMAL CARE AND USE TRAINING AND EDUCATION PROGRAM , *January 8, 1996*

## 9. NON-FACULTY RESEARCH APPOINTMENTS

- 9.1 ACADEMIC STAFF - RESEARCH (AS-R): POLICY AND PROCEDURES FOR  
APPOINTMENT  
AND PROMOTION, *October 22, 2009*
- 9.2 GRIEVANCE PROCEDURES: ACADEMIC STAFF, *April 9, 1998*  
ATTACHMENT A: Standing Rules of Procedure Governing the Filing and Appeal of Grievances  
(Academic Staff), *amended April 9, 1998*
- 9.3 NONE (Policy for Research Assistantships is incorporated into  
Administrative Guide Memo 24.2, "Graduate Student Assistantships", *June 15, 2004*)  
  
See also: *Graduate Student Salary and Tuition Allowance Tables*  
*Estimated Tuition Charges for Sponsored Projects*  
*Minimum Salary Rates for Graduate Research Assistants and Teaching Assistants*
- 9.4 POSTDOCTORAL SCHOLARS, *July 1, 2008*  
ATTACHMENT A: Grievance Resolution Procedure for Postdoctoral Scholars,  
*November 26, 2001*  
  
See also: *Minimum Salary Rates for Postdoctoral Scholars*
- 9.5 RETENTION OF CONSULTANTS, *September 15, 2000*  
  
See also: *Administrative Guide Memo 35, "Payroll"*  
*Administrative Guide Memo 36.5, "Payments to Nonemployees"*  
*Administrator's Toolkit, Section 6, "Paying People"*
- 9.6 VISITING SCHOLARS, *September 15, 2000*  
  
See also: *Faculty Handbook, Special Faculty Designations*
- 9.7 PROCEDURES FOR REGISTERING VISITING RESEARCHERS, *March 13, 2009*

**10. OTHER ASPECTS OF SPONSORED PROJECT ADMINISTRATION**

- 10.1 PREPARATION, REVIEW AND SUBMISSION OF SPONSORED PROJECT PROPOSALS,  
*July 15, 2009*

See also: *Sponsored Projects Proposal Routing Sheet (SU-42)*

- 10.2 EXPORT CONTROLS, *September 20, 2006*

See also: *Information and Resources related to Export Controls*

- 10.3 ACTING PRINCIPAL INVESTIGATORSHIP, *June 4, 1976*

- 10.4 NONDISCRIMINATION IN RESEARCH AGREEMENTS, *January 22, 2009*

- 10.5 ESTABLISHMENT OF INDUSTRIAL AFFILIATES AND RELATED MEMBERSHIP-  
SUPPORTED PROGRAMS, *February 1, 2006*

See also: *Industrial Affiliates Program Revisions*,  
Memo from Arthur Bienenstock, February 1, 2006 (rev. July 17, 2006)  
*Guidelines for the Establishment and Review of Centers at Stanford University*  
Attachment A to the 1996-97 Annual Report of the Committee on Research

- 10.6 RESEARCH PARTICIPATION AGREEMENTS, *January 25, 1996*

ATTACHMENT A. Individual Project Routing Sheet, *November, 2001*

ATTACHMENT B. Blanket Approval Routing Sheet, *November, 2001*

See also: *Implementation Guidelines: Research Participation Agreements*

- 10.7 HUMAN STEM CELL RESEARCH, *March 7, 2008*

See also: *Human Embryonic Stem Cell Research – Special Operating Procedures*

- 10.8 HUMAN SKELETAL REMAINS, *March 27, 2009*