

February 4, 2010

William W. Destler, Ph.D.  
President  
Rochester Institute of Technology  
One Lomb Memorial Drive  
Rochester, NY 14623

**RE: Oversight Committee for Externally Sponsored Projects Annual Report FY09**

Dear President Destler:

The 2009-2010 Oversight Committee is pleased to present our FY09 Annual Report. In accordance with the RIT Oversight Policy for Externally Sponsored Projects, this report is provided for the Board of Trustees, Academic Senate, Staff Council, and Institute Council and will become part of the public record of the Committee, which is kept on reserve in Wallace Library. This report, along with other Oversight Committee materials, is available at <http://www.rit.edu/research/srs/compliance/roc/>.

From July 1, 2008, to June 30, 2009, the Committee reviewed 538 Initial and Revised Notices of Award (NOAs) submitted by Principal Investigators (PIs) from across the campus (see attached). This total constitutes a 25% increase in the number of NOAs reviewed by the Committee over FY08. This dramatic increase can be attributed to an increased number of revisions filed by Principal Investigators in the RAPID database, to update their project information and personnel listings.

The Committee continues to partner with Sponsored Research Services (SRS) to find innovative ways to satisfy the requirements of the Oversight Policy. New technologies such as the RAPID database and the Controller's Office accounts receivable system have allowed the Committee to reduce the burden on Principal Investigators and their staff, while maintaining compliance with the requirements and spirit of the Oversight Policy. Everyone has benefited from these upgrades, but none more so than those units with Enterprise Center activities.

While many externally funded projects are distinctive (hence necessitating separate NOAs), some units on campus pursue externally-sponsored projects of a recurring nature (typically involving the same kind of analysis, evaluation, or non-credit training). In order to balance the needs of the Committee to (a) review sponsored projects, and (b) minimize the administrative burden imposed, we have allowed them to prepare a single scope of work or job description for the recurring portion of their work. Although this practice had been emerging for several years, at our May 2009 special meeting, the Committee formally defined the concept of Enterprise Center and agreed to develop standard and uniform procedures for existing and future Enterprise Centers. These changes are now being implemented in FY10, in cooperation with Enterprise Center staff.

During FY09 year, The Committee conducted one prior review of a special case and provided its recommendation to the Provost. Under the Policy, these special cases involve any of the following:

- (a) a request from the sponsor for a limited level of disclosure of pertinent details,
- (b) a delay of publication extending beyond 90 days, or
- (c) a project that create or make use of classified information.

The details of this special case are attached.

Finally, we thank the Principal Investigators, who continue to adopt the spirit of the Oversight Policy and to accept the process of disclosure as part of managing externally funded grants and contracts.

Following acceptance of this report, we will add it and the FY09 Notices of Award to the other Committee documents on file for public review. Please feel free to contact us with any concerns, questions, or comments that you may have with respect to our Committee and this report.

Respectfully Submitted,

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Department of Science, Technology & Society/Public Policy and Department of History  
College of Liberal Arts  
Chair, Oversight Committee for Externally Sponsored Projects 2008-09

Ian Gatley  
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cc: Jeremy Haefner – Provost and Vice President  
Donald Boyd – Vice President for Research  
Josh Bauroth – Chair, Staff Council  
Eileen Feeney Bushnell – Chair, Academic Senate  
David Bond – Director, Sponsored Research Services