

Proposed Research Governing Principles

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ARKANSAS STATE UNIVERSITY

GOVERNING PRINCIPLES FOR LABORATORY

INSPECTIONS

1.0 INTRODUCTION

Arkansas State University (ASU) is committed to providing a safe work environment for its employees, students, ancillary workers, and visitors. A comprehensive safety plan includes governing principles for Laboratory Inspections.

2.0 PURPOSE

These governing principles are designed to ensure that laboratories are operated in a manner that is consistent with federal, state, local, and institutional guidelines.

3.0 DEFINITIONS

General Inspections are thorough periodic inspections of each laboratory facility. They are conducted each semester. Deans or their designees are required to accompany the inspector.

Laboratory a facility that provides controlled conditions in which teaching or research, experiments and measurement may be performed. Examples include chemical, biological, clinical and agricultural laboratories and art studios where hazardous products are used.

Safety Discrepancies are classified as follows:

Urgent - laboratory practices or conditions that are likely to negatively impact human health or the environment and must be resolved immediately. Examples include identification of a gas leak, emission of toxic gases, exposed utilities, etc.

Severe - laboratory practices or conditions that may result in injury to health or damage to the environment, but don't pose an immediate threat. These discrepancies, nevertheless, must be addressed within 24 working hours. Examples include blocked pathways, improperly labeled chemicals, etc.

Serious – unsafe laboratory practices or conditions that pose minimal risk to human health and/or the environment but are, nevertheless, violate safe laboratory practices as articulated in the University's Governing Principles.

Persistent Safety Discrepancies are urgent, severe, or serious continuing laboratory discrepancies of the same or similar nature that are noted two or more times by University or external inspectors. Examples include leaving an unlabeled beaker on a counter top two or more times, etc.

Walk-Through Inspections are monthly inspections that alternatively concentrate on environmental health/safety violations and on fire safety. These inspections are more cursory than general inspections, focusing on visible deficiencies. Upon request, the Dean or his/her designee may accompany the inspector on his/her rounds.

4.0 APPLICABILITY

These governing principles apply to all teaching and research laboratories on campus as per the definition above.

5.0 REGULATIONS

ANSI Z136.1-2007: American National Standard for the Safe Use of Lasers

ANSI Z358.1-2009: American National Standard for Emergency Eyewash and Shower Equipment.

Prudent Practices for Handling Hazardous Chemicals in Laboratories

All applicable Federal and State Laws and Regulations concerning laboratory operation

Governing Principles for Laboratory, Chemical, Biological, Radiological, and Laser Safety

6.0 GOVERNING PRINCIPLES

The University hereby establishes governing principles to inspect laboratory facilities on the ASU campus. Department of Environmental Health and Safety (EH&S) personnel will provide the Dean with at least seventy-two hours' notice of upcoming walk-through or general inspections. The Dean, Chair, or designee may elect to accompany the inspector on walk-through inspections and are required participate in general inspections (as specified in the chart below).

The University will adhere to the following schedule of general laboratory inspections and will maintain documentation of each inspection as follows:

Activity	Frequency	Inspection Officials
Inspection of Eyewash Stations	Once Per Week	EH&S
Inspection of Emergency Showers	Once Per Month	EH&S
Walk-through Inspections	Alternating inspections for	EH&S, Dean/Designee,

	1) Environmental Health/Safety Violations; and 2) Fire Safety Violations	and/or Chair if s/he so requests
General Inspection of Laboratories	Once Per Semester (Fall, Spring, Summer)	EH&S Dean/ Designee, and/or Chair
Follow Up Inspections	Urgent Discrepancies: Daily Severe Discrepancies: Within one working week Serious Discrepancies: Within two working weeks Persistent Discrepancies: Consistent with the category of the discrepancy as articulated in the "Definitions." Departments may provide electronic, photographic documentation of remedy for noted discrepancy in lieu of follow-up inspection.	EH&S, Dean/ Designee, and/or Chair if s/he so requests
On Demand	As Circumstances Dictate	EH&S, Dean Designee, or Chair

The Dean or designee can ask to delay inspection of specific laboratories because of the sensitivity of experiments that are underway. If such a delay is requested, the Dean, Chair, or designee must provide justification for the delay and provide access during general business hours as soon as practicable.

In the event that a laboratory inspection reveals animal care and use, radiation or laser safety, or biohazardous material discrepancies, the appropriate official will be notified of the discrepancy.

7.0 ROLES AND RESPONSIBILITIES

Environmental Health & Safety (EH&S) will inspect all laboratories as specified above and will provide the Deans with report findings following inspection. A monthly inspection report will likewise be provided to the Deans, Chief Research Officer, Executive Vice Chancellor and Provost, Vice Chancellor for Finance and Administration, the Associate Vice Chancellor for Administration, and Chancellor. The monthly report will include a summary of all uncompleted discrepancies.

The **Executive Vice Chancellor and Provost** will review a report of all discrepancies and take appropriate action.

Dean, Chairperson, or Designee may accompany EH&S employees on walk-through inspections upon request and shall accompany the EH&S inspector when general inspections are conducted. They will take immediate action on urgent, severe, and persistent safety discrepancies. They will likewise follow up on serious discrepancies within two working weeks, and will report all actions taken to the EH&S Department. The Department may provide electronic documentation of corrections in lieu of a follow-up inspection.

Researcher/Instructor is responsible for maintaining a safe laboratory environment consistent with the University's Governing Principles and with federal, state, and local statutes and regulations.

Laboratory employees are responsible for using safe laboratory practices, consistent with the University's Governing Principles and with federal, state, and local statutes and regulations.

Subject to review of the Shared Governance Committee.

**ARKANSAS STATE UNIVERSITY
GOVERNING PRINCIPLES
FOR THE USE OF CONTROLLED SUBSTANCES IN RESEARCH**

1.0 INTRODUCTION

Arkansas State University (ASU) is committed to enhancing the growth of research and other sponsored activities on campus while simultaneously complying with federal and state laws and regulations concerning controlled substances.

2.0 PURPOSE

These Principles are designed to ensure security and accountability in the acquisition, use, and disposal of Controlled Substances. Substantial compliance with the regulations depends on the following factors:

1. The type of activity conducted (e.g., processing of bulk chemicals, preparing dosage forms, packaging, labeling, buying, possessing, and conducting research, etc.);
2. The type and form of controlled substances handled (e.g., bulk liquids or dosage units, usable powders, unusable powders);
3. The quantity of controlled substances handled;
4. The location of the premises and the relationship such location bears on security needs;
5. The type of building construction and the general characteristics of the building;
6. The type and adequacy of vault, safe, and secure enclosures or other storage system used;
7. The adequacy of electric detection and alarm systems, if any, including use of supervised transmittal lines and standby power sources;
8. The extent of unsupervised public access to the facility;
9. Procedures for handling business guests, visitors, maintenance personnel, and non-employee service personnel;
10. The availability of local police protection or of the registrant's or applicant's security personnel; and
11. The adequacy of the registrant's or applicant's system for monitoring the receipt, manufacture, distribution, and disposition of controlled substances in its operations.

Violations of the Controlled Substances laws, even when unintended, can lead to substantial civil and criminal liability.

3.0 DEFINITIONS

Authorized Individuals are lab personnel who handle or manage Controlled Substances in approved research. Authorized Individuals must be trained in Controlled Substance shipping, receiving, security, inventorying, and recordkeeping procedures.

Controlled Substance is defined as a drug or other substance, or immediate precursor, included in schedule I, II, III, IV, or V of the Controlled Substances Act. The schedules identify materials

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containing any quantity of a substance with a stimulant, depressant, or hallucinogenic effect and promote abuse or physiological or psychological dependence. Schedules I and II are the most stringently regulated, and include many widely known street drugs, including heroin, LSD, and cocaine as well as such drugs as pentobarbital. Schedule III compounds include many stimulants and depressants, pain killers, and anesthetics, including ketamine and buprenorphine. Schedule IV substances cover the balance of lower-abuse potential stimulants and depressants, while Schedule V includes therapeutic drug mixtures containing very limited quantities of Controlled Substances. Each Controlled Substance has a specific drug code assigned to it. A general list of Controlled Substances can be found at <http://www.usdoj.gov/dea/pubs/scheduling.html>.

Drug Enforcement Administration (DEA), a unit within the Department of Justice, has responsibility for enforcing the controlled substances laws and regulations of the United States.

Principal Investigator is the individual with primary responsibility for solicitation, implementation, and administration of an externally sponsored grant or contract.

4.0 APPLICABILITY

All University employees who participate in or administer sponsored program activities, directly or indirectly, and use controlled substances in their research programs.

5.0 REGULATIONS

United States Code, Title 21

Drug Enforcement Administration Practitioner's Manual:

http://www.deadiversion.usdoj.gov/pubs/manuals/pract/pract_manual012508.pdf Arkansas Code Annotated § 5-64-101¹ and § 5-64-307²

6.0 GOVERNING PRINCIPLES

A license from the DEA is required to acquire, make, possess or use a Controlled Substance and is: (i) issued to an individual, who may authorize other individuals to operate under his/her license; (ii) specific to drug schedules identified on the license, and to specific drug codes; and (iii) identified by a specific storage location. A copy of such license, whether issued to a principal investigator, department chair, or other designated official, shall be maintained in the Office of the Associate Vice Chancellor for Research.

Only licenses and authorized individuals will be permitted access to Controlled Substances.

¹ Authorized agents who conduct research on controlled substances are exempted from the provisions of this section. This section also defines a "practitioner" as a scientific investigator.

²The State code directs "Practitioners" to comply with federal law when using controlled substances. The State does not have any of its own specific provisions in these cases.

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Licensure

Application. PIs who wish to work with Controlled Substances should submit a copy of his/her Controlled Substances Application (see DEA Practitioner's Manual at http://www.deadiversion.usdoj.gov/pubs/manuals/pract/pract_manual012508.pdf) to departmental administrators who should, in turn, submit the form to the Dean and to the Associate Vice Chancellor for Research who will approve use of the substance on campus.

It is ultimately the individuals identified on the licenses that have responsibility for ensuring proper acquisition, use, maintenance, and accountability of Controlled Substances. The number of Authorized Individuals on the application should only include those who are essential for efficient operation. Further, persons previously convicted of a felony offense related to Controlled Substances, were denied licenses, or were asked to surrender one may not be authorized to work with these materials. License holders should take steps to ensure that they, their Chairs or equivalents, Deans or equivalents, and the Associate Vice Chancellor for Research have a record of any such changes.

Researchers who occupy ASU space but are not employed by the University must obtain the approval of the Associate Vice Chancellor for Research and from the equivalent signatory at their home institutions to use Controlled Substances on the ASU campus.

Maintenance. The DEA provides guidance at http://www.deadiversion.usdoj.gov/pubs/manuals/pract/pract_manual012508.pdf.

Renewal of Licensure. License holders must provide complete, updated information about Authorized Individuals, drug codes, schedules, and licenses when they renew their licenses with the DEA. Please see http://www.deadiversion.usdoj.gov/pubs/manuals/pract/pract_manual012508.pdf.

Scope of Use

Controlled Substances may only be used for authorized, legitimate, medical or scientific research purposes to the extent permitted by the registrant's license and registration and in conformity with state and federal statutes and regulations.

Synthesis of chemicals or drugs that have been deemed illegal or illicit by the DEA are prohibited unless they are consistent with the research protocol submitted to the DEA and are pre-approved by the Chair or equivalent official, Dean or equivalent, and the Associate Vice Chancellor for Research.

Purchasing

Purchasing shall be consistent with DEA rules, as specified in http://www.deadiversion.usdoj.gov/pubs/manuals/pract/pract_manual012508.pdf. Orders for Controlled Substances should be kept to the smallest quantity needed for efficient operation to conduct the indicated research.

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Storage

Controlled Substances must be stored in securely locked, substantially constructed, drug cabinets or safes in locations where access is limited. (Standard file cabinets are not sufficient for their storage). Keys and/or combinations to the cabinets or safes should be secure and under the control of a limited number of Authorized Individuals. They may be removed only when they are being used for legitimate purposes.

Authorized Individuals should log out the smallest quantity of a Controlled Substance needed for efficient operation, generally no more than a single vial at a time, and must return any unused portions to the safe or vault during those times when they cannot attend to them or no longer need them.

If an Authorized Individual's laboratory is not connected to the License Holder's place of storage, the Authorized Individual must arrange to obtain his/her own license. If the license holder changes location and changes the storage location indicated on his/her license, s/he should notify the DEA in writing and make certain that the new cabinet meets Controlled Substance requirements.

Reporting of Loss, Destruction, Theft, or Unauthorized Use

Thefts, suspected thefts, unauthorized uses, or other losses of any Controlled Substance must be reported to the departmental administrator, University Police Department, and EH&S upon discovery. Additionally, the DEA requires laboratories to report losses within one business day of discovery. DEA Form 106, available on DEA's website, is required.

Any unauthorized persons who gain access to Controlled Substances for the purpose of diversion or theft must be reported to the University Police Department and may be subject to the disciplinary policies of the University.

Recordkeeping

Laboratories are required to maintain records of purchase, use, storage, and disposal of Controlled Substances in accordance with guidelines contained at http://www.deadiversion.usdoj.gov/pubs/manuals/pract/pract_manual012508.pdf.

Controlled Substances of Unknown Origin

Occasionally, laboratories or animal facilities may come across Controlled Substances of an uncertain origin, sometimes referred to as "orphaned drugs." In those circumstances, the laboratory or other facility should take the following steps: (1) make sure that the Substance is secured in a license holder's locked safe or cabinet; (2) contact the EH&S office for disposal assistance and coordination; and (3) provide the DEA with a brief written description of the material (type and quantity), how the laboratory acquired it, and a proposed method of disposal. Please see http://www.deadiversion.usdoj.gov/pubs/manuals/pract/pract_manual012508.pdf for further details.

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Disposal

The DEA's Office of Diversion Control has specific requirements for disposal of Controlled Substances. These provisions can be found at http://www.deadiversion.usdoj.gov/21cfr/cfr/1307/1307_21.htm.

Shipping

Federal law prohibits the export of Controlled Substances unless certain requirements are met, including, in most cases, export and import permits. Violators of the law risk arrest or fines both in the United States and the foreign country. Licensed brokers are available for transport of controlled substances. Contact EH&S for assistance in arranging for any necessary transport of Controlled Substances.

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ARKANSAS STATE UNIVERSITY GOVERNING PRINCIPLES FOR RECOVERY OF FINANCE AND ADMINISTRATION COSTS

1.0 INTRODUCTION

It is the policy of Arkansas State University (ASU) to request and recover the full indirect (F&A) costs to which it is entitled. Indirect costs reimburse the University for legitimate and real expenses that cannot easily be charged as direct costs on external grants and contracts. Recovered indirect costs in no sense represent a “profit” or otherwise discretionary disposable general revenue. Rather, indirect-cost recovery offsets expenses attributable to externally sponsored projects. These expenses include use of space and equipment, depreciation on equipment and facilities, utility costs, financial accounting, departmental administrative costs, and numerous other support services.

2.0 PURPOSE

The purpose of this statement is to clarify and reaffirm the University’s policy concerning Finance and Administration (indirect) costs.

2.0 DEFINITIONS

Facilities and Administrative Costs (F&As). F&As are broad categories of costs that are incurred for common or joint objectives and cannot be identified readily and specifically with a sponsored project, an instructional activity, or any other institutional activity. “Facilities” refers to depreciation and use allowances, interest or debt associated with certain buildings, equipment and capital improvements, and operation and maintenance expenses. “Administration” is defined as general administration and expenses, departmental administration, sponsored projects administration, student administration and services, and all other types of expenditures not listed specifically in one of the subcategories of Facilities (including cross allocations from other pools).¹

Principal Investigator. The individual(s) who has primary responsibility for management of a grant or contract.

4.0 APPLICABILITY

This policy applies to all external grant and contract proposals, external grants, and externally-funded contracts.

5.0 REGULATIONS

OMB Circular A-21, Revised 05/10/04

¹ OMB Circular 21, Revised 5/10/04.

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6.0 GOVERNING PRINCIPLES

6.1 Overview

Federal regulations require institutions of higher education to charge uniform F&A's for federal and non-federal awards when permitted and when such charges are not governed by organizational rules or regulations. All proposals submitted by ASU employees therefore must recover full F&A costs, except under the conditions identified below. Any variation from the full rate, including the exceptions noted below, must be approved by the School/College Dean or designee and the Associate Vice Chancellor for Research or his/her designee.

6.2 Exceptions and Conditions

- **Agency Limitations.** The University will accept the maximum allowed by agencies that have a **written** policy limiting indirect costs to a specific percentage of the grant.
- **In-Kind Contributions.** When an agency requires significant in-kind contributions, the School/College Dean and University's research administrators may choose to reduce the amount of indirect-cost collection, but only in cases in which the agency allows F&As to be used in lieu of other cost sharing or matching funds. **Such in-kind match is at the University's discretion, and principal investigators must understand that such an agreement is granted only in unusual circumstances.**
- **Contracts of Less than \$10,000.** The University will accept a waiver of indirect costs for any fixed-price contract or agreement that is less than \$10,000 in total direct costs.
- **When F&As are Waived.** Provided F&As are allowed by the funding organization, any indirect costs that are waived must be identified in the proposal as matching or cost-sharing contributions.

7.0 RESPONSIBILITIES

Principal Investigators

Principal Investigators are responsible for including all F&As that ASU is eligible to collect in their grant proposals and/or contracts. Deviations from this principle must be approved by the Chair, Dean, Institute Directors, and the Associate Vice Chancellor for Research.

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Chairs, Deans, Institute Directors or Equivalent Administrators

The chairs, deans, institute directors or equivalent administrators have responsibility for ensuring adhering to these governing principles and for approving any deviations, as articulated in Section 6.2 above.

Associate Vice Chancellor for Research

The Associate Vice Chancellor for Research has responsibility for approving any deviations from these governing principles, as articulated in Section 6.2 above.

ARKANSAS STATE UNIVERSITY GUIDELINES FOR CALCULATION OF FACULTY SALARIES IN EXTERNALLY-SPONSORED PROGRAM ACTIVITIES

1.0 INTRODUCTION

Full-time faculty are normally expected to participate in scholarly activities that enhance the reputation of the University and contribute to economic development of the region and State. Externally sponsored programs often require commitments of faculty time that are reimbursed by the funding agencies.

2.0 PURPOSE

The purpose of this document is to provide guidelines for calculation of salary expenses as they are allocated to specific grant and/or match accounts.

3.0 DEFINITIONS

Base Salary. The faculty member's base salary is the amount that appears on the letter of contract each year.

Buyout. Buyouts are course releases that are generally used to foster increased research activity. Buyouts are often grant-funded but may also be funded by the University.

Effort Certification. Required by the government for federally-funded projects, effort certification is a process whereby investigators certify the time that they have spent on sponsored activities. The time devoted to a particular activity is expressed as a percentage of the total time spent.

Faculty Workload. Absent a research program, the typical load for a faculty member is to teach three classes each semester during the academic year. Consistent with the Faculty Handbook Section III.b., faculty members with active externally- or internally-funded research programs are allowed to buy out courses from semester to semester.

4.0 APPLICABILITY

These guidelines are applicable to all University employees who apply for or receive grant or contract funding from external sponsors.

5.0 REGULATIONS

Office of Management and Budget (OMB) Circular A-21
Arkansas State University Faculty Handbook 2006 as Amended 5/2010
Arkansas State University Governing Principles for Effort Certification (Draft)

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6.0 GUIDELINES

6.1 Overview

The salaries of full-time faculty members, chairs of academic departments, and directors are full compensation for regularly-assigned activities performed in the areas of teaching, research, administration, or service for or in the name of the University. For the most part, the University pays faculty salaries; however, increasingly, external agencies are funding faculty salaries and benefits in exchange for their work on sponsored programs' activities. These guidelines address methods for calculation of salary expenses associated with externally-funded grant and contract proposals. They also address the circumstances under which the faculty may receive extra compensation that is associated with research activities.

6.2 Faculty Buyout

As proposals are developed, faculty are required to estimate their commitment of effort and request project-related salary and fringe benefit buyout to the fullest extent possible. Buyouts are calculated by determining the percent of effort required for the activity each semester. Twenty to twenty-five percent effort is usually equated to the level of effort required to teach one class.

Though commitment of salary and fringe benefit expenses to the direct costs of a grant is preferred, it is also possible to use the faculty's commitment of time when cost-sharing is required. Faculty buyout of any kind, whether funded by an external source or by the University, must be approved by the chair and dean of college.

The faculty member's base salary and percent of monthly effort are utilized to determine the amount of the buyout. For example:

Ex. 1 for a nine-month faculty member:

Nine-month base salary = \$50,000.00

Monthly salary = \$50,000.00/9

One month of buyout = \$5,555.55

75% of one month of buyout = \$4,166.66

Ex. 2 for a twelve-month faculty member:

Twelve-month base salary = \$60,000.00

Monthly salary = \$60,000.00/12

One month of buyout = \$5000.00

75% of one month of buyout = \$3,750.00

6.3 Summer Salary for Nine-Month Faculty

Nine-month faculty are eligible for summer compensation (the period between each academic year) from externally-funded sources, provided that the grant/contract allows such expenditures.

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Summer salary for research activities is calculated using the faculty member's base pay for the academic year, dividing by 9, and multiplying by the percent of effort. For example:

Nine-month base salary = \$50,000.00

Monthly salary = \$50,000/9 (\$5,555.55)

One and one-half months of summer salary = \$5,555.55 * 1.5 (\$8,333.33)

Twelve-month faculty are not eligible for summer salary.

6.4 Salary Enhancements

The University has adopted the federal government's prohibition concerning utilization of externally-sponsored programs to enhance the salaries of any of its employees. Specifically, charges to sponsored agreements may not exceed the proportionate share of the faculty member's base salary (OMB Circular A-21, 5/10/04 Rev, J.10.d.).

6.5 Extra Compensation for Sponsored Programs' Activities

State Limitations. The State of Arkansas allows payment of extra compensation under limited circumstances, but caps the total amount of compensation that nine- and twelve-month faculty may receive in any given fiscal year. For more information concerning these limits, contact the Office of Research Administration.

Extra Compensation Eligibility. The University has adopted the federal government's limitations concerning extra compensation to sponsored programs' activities. Specifically, extra compensation is limited to the following circumstances:

- where extra responsibilities are across disciplinary boundaries; or
- if the faculty member is consulting with a non-ASU entity,; and
- the work performed is in addition to the faculty member's regular departmental load, as defined above in the section entitled "Definitions."

If the faculty member receives extra compensation, such expense must be specified in the agreement or approved in writing by the sponsoring agency (OMB Circular A-21, 5/10/04 Rev, J.10.d). Extra compensation for research activities that are outside of these boundaries is specifically prohibited.

ARKANSAS STATE UNIVERSITY GOVERNING PRINCIPLES FOR EFFORT REPORTING

1.0 INTRODUCTION

Universities that apply for and accept federally-sponsored research funding are required to report and certify its faculty and staff effort in accordance with the Office of Management Budget's Circular A-21.

2.0 PURPOSE

The purpose of this document is to account for the time that Arkansas State University's faculty, students, and staff spend on research and other University activities and to comply with federal effort reporting requirements as specified in Office of Management and Budget Circular A-21.

3.0 DEFINITIONS

Certifier. The person who certifies the effort report. In most cases, a full-time employee should certify his/her own time. The principal investigator/project director (hereafter referred to as PI) of the project is responsible for certifying for part-time staff and students.

Alternate Certifier. A person other than the employee who is allowed to certify the effort report. The PI can certify any employee effort tied to his/her project. The department chair and/or dean may be additional alternate certifiers. This individual must have suitable means of verification for the employee's reported time.

Effort Reporting. Mandated by the federal government, effort reporting ensures that labor charged to federally-sponsored agreements is reasonable and reflects actual work performed. In most cases, the certification corresponds to salaries charged to the project; however, in some cases, it reflects the University-funded mandatory or voluntary cost sharing commitments. Effort reporting is also required for the appropriate calculation of the University's negotiated Facilities and Administrative (F&A) rates with the federal government.

Effort reporting categories include:

- Organized research and development activities for which separate budgeting and accounting is required including: 1) *Research Grants and/or Agreements*, activities sponsored by either federal or non-federal agencies and organizations; and 2) *Mandatory or Voluntary Committed Cost Share*, cash and/or in-kind contributions that are required by the sponsoring agency or volunteered by the awardee.
- University sponsored activities including teaching, research, service and administration. Grant proposal preparation should be included in this category.

Institutional Base Salary. The institutional base salary is the amount that the University has agreed to pay the employee for his/her contract period, including any buyouts that have been

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negotiated. The institutional base salary does not include overload assignments, Pay received outside the contract period (e.g., summer salary) is not included in the institutional base salary but must be reported.

Labor Distribution. Allocation of funding sources by activity. For example, if an external funding entity pays for 25% of a faculty member's time, the University's records will reflect that commitment of time.

Labor Redistribution. If a faculty member's contribution to a project exceeds 5% of estimated effort, or is 5% lower than anticipated effort, his/her effort should be redistributed.

4.0 APPLICABILITY

This policy is applicable to all University employees who apply for or receive grant or contract funding from external sponsors.

5.0 REGULATIONS

Office of Management and Budget (OMB) Circular A-21

6.0 GOVERNING PRINCIPLES

University employees who work on or receive a portion of their salaries from externally-funded projects must estimate their "after-the-fact" effort on a semesterly basis in the University-approved format.

6.1 After-the-Fact Effort Reporting

ASU uses the "after-the-fact activity" method to meet A-21 requirements for effort reporting and requires employees to certify their actual efforts on a monthly basis. This certification is accomplished through the completion of an Effort Reporting Form.

Circular A-21 standards for a plan-confirmation system include the following:

- Reports must reflect after-the-fact accounting of the percentage distribution of employee activities. Charges may be made initially on the basis of estimates made before the services are performed, provided that such charges are promptly adjusted if significant differences are indicated by activity records.
- Reports will reflect the activities for which employees are compensated by the institution. To confirm that the distribution of activity represents a reasonable estimate of the work performed by the employee during the period, the reports are signed by the employee, principal investigator, or responsible official(s).
- The system identifies activities that are correlated to the calculation of F&A costs.

6.2 Estimating Effort

In documenting and certifying effort on University activities, the following guidelines must be followed:

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- An individual's effort distribution should reflect the percentage of actual time spent on various activities expressed as a **percentage of total effort, not hours**.
- In all but a very few circumstances, total effort may not exceed 100% and must only include activities for which the individual receives compensation from the University (including salary charged to sponsored agreements, but excluding incentive pay). If total effort is expected to exceed 100%, the individual must IMMEDIATELY notify his/her Chairperson, Dean, and the Office of Sponsored Programs.
- Sponsored effort may not exceed 90% of total effort unless pre-approved by the Associate Vice Chancellor for Research.
- The amount of effort identified as organized research must include cost share and voluntary match.
- The individual's Effort Reporting Form must be modified immediately when there is a five percent (5%) or greater change in the distribution of activities. If a larger variance occurs, the certifier should request a salary reallocation to reflect the actual level of effort. An email should be sent to Sponsored Programs Accounting requesting the reallocation, with a copy to the PI (if certifier is not the PI), Department Chair, and Dean. With Chair and Dean approval, SPA will request the Budget Office to process the labor redistribution and update the effort certification. The certifier(s) will be notified when the updated effort report is available.
- When an individual who receives salary from a sponsored program is scheduled to leave the University, an effort report must be completed at the time of separation.

6.3 Timeline

Effort certification will occur each semester via the Self-Service Banner system, with the following timeline for each certification period:

Semester	Certification Period	Certification Completion
Spring	January 1-May 15	June 1-30
Summer	May 16-August 15	September 1-30
Fall	August 16-December 31	February 1 – March 2

E-mail notifications will be sent when the records are available for review and will be sent on a daily basis to the certifiers until the records are locked. A reminder email will be sent to the alternate certifier at the end of the second, third, and fourth weeks after the period is open if the employee has not certified. The deans will receive email notifications after the third and fourth weeks with an attached spreadsheet of employees who have not certified within their colleges. The FYI reviewers will also receive an email notification after the fourth week with an attached spreadsheet of all employees who have not certified. Certifiers will have the option to request a labor redistribution when necessary.

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6.4 Sanctions.

Effort certifications must be completed in a timely manner. If not completed within the allotted four week certification period, the Dean and Chair of the affected department and the Associate Vice Chancellor for Research will be notified. If the effort has not been filed within ten (10) business days of such notification, salary and fringe benefit expenditures associated with the project in question will be reallocated to the principal investigator's department. In addition, further project expenditures will be disallowed until certification has been completed.

Failure to comply with the requirements of these principles or applicable standards may also result in University disciplinary action, loss of privileges to conduct research or use University facilities and equipment, loss of grant funding, and civil or criminal penalties imposed under federal or state laws.

7.0 RESPONSIBILITIES

Employees

All employees who work on externally-funded projects are required to report their effort. Full-time employees should certify their own effort whenever possible and request a labor redistribution from Sponsored Programs Accounting if reported effort exceeds or is less than estimated effort, provided, however, that up to a 5% variance from estimated effort is allowed.

Principal Investigators

The principal investigator is required to certify his/her effort and the effort of students and part-time employees. Additionally, if a full-time employee is prevented from certifying for circumstances beyond his/her control, the principal investigator can certify on his/her behalf. If a situation arises which prevents a full-time employee from certifying, the principal investigator can certify on the employee's behalf.

Chairs, Deans, Directors of Institutes, or Equivalent Administrators

Department chairs or deans may function as alternate certifiers in some circumstances, but such certification should only occur if the alternate certifier has first-hand knowledge of actual effort. Chairs, Deans, Institute Directors, or equivalent administrators will be provided with reports at reasonable intervals to ensure that the employees under their supervision complete their monthly effort certifications in a timely manner.

Office of Sponsored Programs

The Office of Sponsored Programs is responsible for administering the Effort Reporting Program and for working collaboratively with the Office of Research and Technology Transfer to develop reports that are suitable for management purposes.

ARKANSAS STATE UNIVERSITY

GOVERNING PRINCIPLES TO DIFFERENTIATE BETWEEN SPONSORED PROGRAMS AND GIFTS

1.0 INTRODUCTION

Arkansas State University (ASU) is committed to advancing research/scholarship activities by providing the faculty with tangible support (within its financial limits) including release time, summer salary, start-up funding, matching funds, university funding for research activities, etc. It is likewise committed to advancing administrative clarity by providing managers and researchers alike the framework within which research activities are categorized and supported.

2.0 PURPOSE

The purpose of this document is to differentiate between gifts and sponsored programs and to outline a general framework for their proper solicitation, administration, and accounting.

3.0 DEFINITIONS

Facilities and Administrative Costs (F&As). F&As are broad categories of costs that are incurred for common or joint objectives and cannot be identified readily and specifically with a sponsored project, an instructional activity, or any other institutional activity. "Facilities" refers to depreciation and use allowances, interest or debt associated with certain buildings, equipment and capital improvements, and operation and maintenance expenses. "Administration" is defined as general administration and expenses, departmental administration, sponsored projects administration, student administration and services, and all other types of expenditures not listed specifically in one of the subcategories of Facilities (including cross allocations from other pools.¹

Gifts. Gifts are defined as items of value that are donated by an individual who expects nothing of significant of value in return, other than recognition and disposition of the gift in accordance with his/her wishes. In general, the gift characteristics include the following elements.

- No contractual requirements are imposed and there are no "deliverables" to the donor. However, the gift may be accompanied by an agreement that restricts the use of the funds to a particular purpose.
- A gift is typically irrevocable. While the gift may be intended for use within a specific timeframe, there are no "start" or "stop" dates that are normally associated with sponsored projects.

¹ OMB Circular 21, Revised 5/10/04.

Document subject to review of the Shared Governance Committee.

- Formal fiscal accountability reports to the donor are generally not required, though periodic progress and/or summary reports may be requested. Though characteristic of good stewardship, these reports are not usually contractually obligated.

Sponsored Programs. Sponsored Programs are externally-funded activities in which a university enters into a formal written agreement with a sponsoring entity to provide services in a specified area of interest. The agreement may take the form of a grant, contract, or cooperative agreement and generally includes a statement of work, provision for Facilities and Administration costs, detailed financial accountability, a specified period of performance, a requirement to return unused money at the end of the funding period, terms and conditions for the disposition of tangible assets (e.g., equipment, records, technical reports, etc.) and requirements for adherence to state and federal guidelines where applicable. Such submissions are often competitively reviewed. Examples include:

- awards to support research activities
- external Faculty "Career Awards" to support research efforts
- external funding to maintain facilities or equipment and/or operation of a center or facility which will be used for research
- external support to write books, when the purpose of is to publish research results.

4.0 APPLICABILITY

These governing principles affect all University employees and affiliated workers who are not employed by the University but may work collaboratively with faculty and/or staff.

5.0 REGULATIONS

Governing Principles and Procedures for Preparation of Sponsored Program Requests

6.0 GOVERNING PRINCIPLES

6.1 Overview

Both sponsored projects and gift-funded activities are externally-supported, with funds provided typically in response to a request or proposal. The classification of funding as "gift" or "sponsored" will affect, among other things, the way ASU accounts for the funds, calculates and applies F&A (indirect) costs, and reports on the use of the funds to the sponsor or donor.

ASU agrees to use restricted gifts as the donor specifies, and does not accept gifts that it cannot use as the donor intends. If circumstances change such that a gift cannot be used as the donor specified, the donor must approve a change in the original restriction, or ASU must receive court

approval to waive the restriction (if the donor cannot be contacted). University approval for changes in the purpose of a gift fund can only be granted by the Provost.

6.2 The Distinction between Sponsored Programs and Gifts

The distinction between sponsored programs and gifts can be subtle, so it is important to recognize the difference so that sponsors are approached appropriately and gifts and grants are managed and accounted for properly. There is a fundamental difference between a “gift” and a “sponsored program” and each follows separate paths. Gifts are bestowed voluntarily, without expectation or receipt of direct economic benefit, whereas sponsored programs are awarded to support a project with a defined scope of work from which the sponsor expects certain performance objectives to be achieved. The Offices of Research and Innovation and Sponsored Programs establish and manage sponsored program funds; the Development Office oversees the cultivation and stewardship of gift funds.

The following provides differentiating characteristics of gifts and sponsored programs.

Characteristic	Gift	Sponsored Program
Federal, state, local sources of public funding	Never	Always
Nonprofit funding	Rarely	Usually
Corporate funding	Sometimes	Rarely
Funds support direct mission of University	Yes	Yes
Funds support mission of sponsoring agency	Usually not	Yes
Value exchange; sponsor may request tangible items of value; e.g., intellectual property, data, etc.	Little or no value exchange	Yes
Specifies the goal of an activity and, in some cases, specifies how to accomplish the activity.	Expresses goal only.	Specifies goal, and may also specify “how-tos.”
Penalties for non-performance	Return of unspent funds or unused materials.	Penalties may exist for failing to deliver items on a timely basis. Sponsor may include audit and compliance terms.
Publication and data review	Sponsors place few restrictions on review of results before they are made available.	Sponsor may place restrictions on how results are reviewed before being made available to a wider audience.
Time period	No time period is specified.	There is a specified time period over which the funds will be expended.

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Reporting	The institution has no obligation to report to the donor how the gift is used or invested ² , but the institution may do so as a component of donor stewardship.	Technical, programmatic, and/or financial reports are required.
Tax Benefits	Foundations expect the University to provide a receipt for tax purposes.	None

If in doubt, refer to the statement of work, terms of agreement, and the intent of the donor or sponsor. If the appropriate classification is still unclear, the Associate Vice Chancellor for Research, the appropriate Dean, and the University's Development Officer will confer and resolve the question.

6.3 Coordination and Clarification

To facilitate the solicitation and management of gifts and sponsored programs from corporations, foundations, and other private sponsors, the Offices of Research and Development shall maintain systems that consistently report and share information. It is acceptable for each to account for the same grant and/or gift as long as the records so note that it has been accounted for in each place, and as long as the institutional definitions for grants and gifts are satisfied.

² CASE Management Reporting Standards Addendum (Nov. 2002).

ARKANSAS STATE UNIVERSITY GOVERNING PRINCIPLES FOR THE RESPONSIBLE CONDUCT OF RESEARCH

1.0 INTRODUCTION

Arkansas State University is committed to ethical conduct and provides training to its investigators in the responsible conduct of research.

2.0 PURPOSE

The purpose of these governing principles is to provide training in the responsible conduct of research to University employees and students who participate in University or externally-funded research programs. It is also designed to ensure compliance with Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education and Science (America COMPETES) Act which requires that undergraduates, graduate students, and postdoctoral researchers who participate in National Science Foundation (NSF) projects receive training in the responsible and ethical conduct of research.

3.0 DEFINITIONS

Co-Principal Investigator. The co-principal investigator is a faculty member or administrator who has secondary responsibility for directing work on sponsored program projects.

Principal Investigator. The principal investigator is a faculty member or administrator responsible for directing work on sponsored program projects.

Responsible Conduct of Research (RCR). Responsible conduct in research, at minimum, is research that is built on commitment to:

- Acquiring and managing data using accepted practices;
- conveying information truthfully and honoring commitments;
- reporting findings precisely and taking care to avoid errors;
- appropriately crediting research colleagues for their participation in research projects and any publications or presentations that emanate from such research projects;
- using resources wisely and avoiding waste;
- letting the facts speak for themselves and avoiding improper bias;
- treating human subjects with respect and minimizing risk to their participation in University-sponsored research programs;
- caring for animals appropriately and minimizing their pain and suffering;
- providing students, post-doctoral fellows, and junior faculty members with mentoring and training opportunities; and
- aggressively pursuing alleged cases of research misconduct.

4.0 REGULATIONS

Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education and Science (America COMPETES).

5.0 APPLICABILITY

These governing principles apply to all undergraduates, graduate students, and postdoctoral fellows, to principal, and co-principal investigators who apply for or participate in externally-funded sponsored programs.

6.0 GOVERNING PRINCIPLES

All individuals who apply for or participate in externally-funded research programs at Arkansas State University after July 1, 2010 are required to enroll in Responsible Conduct of Research (RCR) training before the onset of work. Core instructional areas (modules) of the Responsible Conduct of Research as indicated by the U.S. Office of Research Integrity include:

- **Data Acquisition, Management, Sharing, and Ownership:** Accepted practices for acquiring and maintaining research data. Proper methods for record keeping and electronic data collection and storage in scientific research. Includes defining what constitutes data; keeping data notebooks or electronic files; data privacy and confidentiality; data selection, retention, sharing, ownership, and analysis; data as legal documents and intellectual property, including copyright laws.ⁱ
- **Conflicts of Interest and Commitment:** The definition of conflicts of interest and how to handle conflicts of interest. Types of conflicts encountered by researchers and institutions. Includes topics such as conflicts associated with collaborators, publication, financial conflicts, obligations to other constituencies, and other types of conflicts.
- **Human Subjects:** Issues important in conducting research involving human subjects. Includes topics such as the definition of human subjects research, ethical principles for conducting human subjects research, informed consent, confidentiality and privacy of data and patient records, risks and benefits, preparation of a research protocol, institutional review boards, adherence to study protocol, proper conduct of the study, and special protections for targeted populations, e.g., children, minorities, and the elderly.
- **Animal Welfare:** Issues important to conducting research involving animals. Includes topics such as definition of research involving animals, ethical principles for conducting research on animals, Federal regulations governing animal research, institutional animal care and use committees, and treatment of animals.
- **Research Misconduct** (fabrication or falsification of data including image manipulation, plagiarism). The meaning of research misconduct and the regulations, policies, and guidelines that govern research misconduct in PHS-funded institutions. Includes topics such as fabrication, falsification, and plagiarism; error vs. intentional misconduct; institutional misconduct policies; identifying misconduct; procedures for reporting misconduct; protection of whistleblowers; and outcomes of investigations, including institutional and Federal actions.
- **Publication Practices and Responsible Authorship:** the purpose and importance of scientific publication, and the responsibilities of the authors. Includes topics such as collaborative work and assigning appropriate credit, acknowledgments, appropriate citations, repetitive

publications, fragmentary publication, sufficient description of methods, corrections and retractions, conventions for deciding upon authors, author responsibilities, and the pressure to publish.

- **Mentor / Trainee Responsibilities:** the responsibilities of mentors and trainees in predoctoral and postdoctoral research programs. Includes the role of a mentor, responsibilities of a mentor, conflicts between mentor and trainee, collaboration and competition, selection of a mentor, and abusing the mentor/trainee relationship.
- **Peer Review:** The purpose of peer review in determining merit for research funding and publications. Includes topics such as, the definition of peer review, impartiality, how peer review works, editorial boards and ad hoc reviewers, responsibilities of the reviewers, privileged information and confidentiality.
- **Collaborative Science:** Research collaborations and issues that may arise from such collaborations. Includes topics such as setting ground rules early in the collaboration, avoiding authorship disputes, and the sharing of materials and information with internal and external collaborating scientists.

Only those instructional areas applicable to the grant funded research project are required to be covered. For example, a chemistry project might not involve the use of human subjects, thus the human subjects module would not be required as part of the training.

7.0 RESPONSIBILITIES

Principal and Co-Principal Investigators

Principal and Co-Principal Investigators who are conducting externally-funded research projects are responsible for assuring that undergraduates, graduate students, and post doctoral fellows participate in appropriate Responsible Conduct in Research training (depending upon discipline) offered by the CITI Program. Faculty investigators who have received, or are about to receive, external funding are also required to complete the CITI Program Responsible Conduct in Research Program before a grant account will be activated.

Undergraduates, Graduates Students, and Postdoctoral Fellows

Undergraduates, Graduates Students, and Postdoctoral Fellows are responsible for successfully completing appropriate CITI Program training.

Associate Vice Chancellor for Research

Dissemination and administration of these regulations will be the responsibility of the Associate Vice Chancellor for Research.

Draft: March 10, 2010

ARKANSAS STATE UNIVERSITY GOVERNING PRINCIPLES AND PROCEDURES CENTERS AND INSTITUTES

1.0 INTRODUCTION

Centers and institutes play an increasingly important role in fulfilling the teaching, research, and service mission of Arkansas State University (ASU). This document establishes guidelines for the creation, operation, and review of new and existing centers and institutes at ASU. These guidelines will affect currently existing centers and institutes by encouraging their participation in the guidelines for operation and evaluation contained herein.

Both flexible and entrepreneurial, a center or an institute contributes to the academic life of the University by fostering collaboration among faculty, departments, and colleges, and by facilitating relationships with other research enterprises, community stakeholders, and grant-making agencies. They help to facilitate the University's mission by providing alternative opportunities for teaching, scholarship, and service, while simultaneously enhancing the University's reputation as a leader in scholarship and research.

2.0 PURPOSE

When academic centers, support centers, and institutes are appropriately designed, ably led, regularly reviewed, and carefully integrated with the University's core mission, they make essential and powerful contributions to the University's academic life. They are distinct entities that may be affiliated with departments and colleges. They have any or all of the following attributes:

- provide clear intellectual foci that define their essential programs and research activities;
- advance the scholarly missions of departments, colleges and the University;
- serve as the nucleus for research programs in established and emerging fields of strength;
- offer students and community stakeholders educational programs, training, and services that otherwise would not be available; and
- enhance the visibility and reputation of the University.

3.0 DEFINITIONS

- **Academic Centers.** Academic centers are teaching/research/service entities organized within departments or colleges that have focused missions and clearly defined objectives. They may stem from a single discipline or involve collaboration among disciplines. Academic centers typically will report to a dean and should attract the intellectual and professional participation of a critical mass of faculty members, visiting scholars, senior scientists, and/or leading professionals.
- **Affiliates.** Affiliates are individuals who participate in ASU's education, research, or service activities, but are not employees nor students.

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- **Support Centers.** Support centers are entities organized within colleges or executive-level offices. Their reporting structure typically is to a dean or executive official. Their purpose is to serve the academic community by assisting to fulfill the University's mission of teaching, research, and service.
- **Institutes.** Institutes, like academic centers, are grounded in the teaching/research/service mission of the University. They typically have broader missions and multidisciplinary foci than academic centers and will most commonly report to the Provost or his/her designee. They should the intellectual and professional participation of a critical mass of faculty members, visiting scholars, senior scientists, and/or leading professionals. It is expected that most institutes would also include significant interaction with community stakeholders and be totally self sufficient within a specified period of time.
- **Center or Institute Affiliates.** The University's faculty and staff, community participants, or other external stakeholders may receive "affiliate" designations when appropriate. An affiliate's designation indicates an individual's key role in a center or an institute.
- **Designation as a Center or Institute.** Designation as a center or an institute is a competitive process that is administered by the Office of the Provost and Vice Chancellor for Academic Affairs and Research, in consultation with the Office of the Chancellor.
- **New Center or Institute.** Those centers or institutes that had not been officially designated as such by ASU on January 1, 2012.
- **Existing Center or Institute.** Those centers or institutes that had an official designation (i.e., recognized by the University) as a center or institute on or before January 1, 2012. These include the Center for Educational Excellence in the College of Education and the Beck Pride Center in the College of Nursing and Health Professions.

4.0 APPLICABILITY

This policy applies to all faculty and staff at ASU.

5.0 GOVERNING PRINCIPLES

5.1 Establishment

Designation as a center or institute is a singular honor reserved for those entities that are a) central to the mission of the University, b) interdisciplinary, c) entrepreneurial in approach, d) research intensive, e) venues for student learning, and f) linked to the community and to other external stakeholders. Additionally, centers and institutes must build upon faculty strengths; facilitate the creation of a multidisciplinary community of scholars; be linked to at least one academic program in order to provide research, service, and experiential learning opportunities for faculty and students; demonstrate the potential for attracting external support and/or demonstrably enhancing the University's reputation; and demonstrate linkages to the community (desirable for centers, mandatory for institutes).

Academic centers and institutes require thoughtful analysis before they are established. Proposals for their establishment should include a statement of need, mission statement, goals and objectives, proposed name, benefits, a communications plan, relationships, affiliations, and a business plan. Please see Section 7.0 for more detailed instructions.

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5.2 Management of Centers and Institutes

5.2.1 Role of the Director. The directors of centers and institutes are responsible for ensuring that their units contribute to the academic vitality and visibility of the University. Directors of the academic centers and institutes are appointed by the Provost and Vice Chancellor for Academic Affairs and Research with the advice and of the relevant Deans and Chairs. They must be members of the faculty, unless otherwise approved by the Provost and Vice Chancellor for Academic Affairs and Research. The appointment of a director must include a written enumeration of any additional compensation, change in workload, other alterations of the faculty member's responsibilities, and any conditions of employment. The Director's faculty contract will be modified or redrawn as necessary to reflect new levels of responsibilities and/or compensation.

5.2.2 Faculty/Constituent Affiliations. The leaders of centers and institutes are encouraged to develop relationships with the faculty and other stakeholders within and outside of the University. The Director has responsibility for recommending any affiliate positions to his/her supervisor.

Center or Institute affiliates should receive letters of appointment that contain the specified periods of service, position descriptions, compensation terms (if any), and descriptions of alterations in workload. Before agreeing to participate, any members of the faculty who anticipate serving in an affiliate's role should seek advice from their chairs and/or deans concerning the impact that his/her involvement will have upon tenure and/or promotion. Faculty affiliates likewise should report any center or institute activities in their annual performance reports.

5.2.3 Policy and Procedure Compliance. All center and institute employees and affiliates are responsible for understanding and adhering to the University's policies and procedures, including but not limited to financial and human resources policies and procedures, the gift acceptance policy, sponsored research policies and procedures, procurement policy, capital projects planning procedures, and all other relevant policies and procedures.

5.2.4 Establishment of Advisory Boards. If deemed appropriate by the Chancellor, Provost, Senior Associate Vice Chancellor for Academic Affairs and Research, and the Associate Vice Chancellor for Research, an external advisory board may be created for a center or institute to provide the unit with support and advice. Its responsibilities may include advising the director about activities that are consistent with the unit's mission, reviewing the unit's accomplishments in light of its goals, providing long-range guidance for the unit's major direction and strategies, and contributing to and/or promoting the financial viability of the center.

The external advisory board may include qualified representatives from academic communities, professional organizations, corporations, governmental agencies, or other suitable entities that are relevant to the center or institute. Members of an external advisory board are appointed by the Chancellor upon the recommendation of the Provost, Senior Associate Vice Chancellor for Academic Affairs, and the Associate Vice Chancellor for Research. The Director or a nominating committee may recommend prospective board members, but cannot invite or appoint new members to the board independently.

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If an advisory board is established, the expectations of membership should be clearly articulated. Terms should be for specific durations (no more than three years) and should expire on a rotating basis to ensure continuity.

5.3.6 Evaluation of Centers and Institutes. All existing centers and institutes as of January 1, 2012 will be evaluated within two years of that date using the methodology described in Section 7, Procedures. At the end of the second year of operation, each new center or institute (those that did not exist prior to January 1, 2012) will be evaluated to determine whether it has contributed substantially to the mission of the University. Thereafter, all centers, whether new or existing on January 1, 2012, will be evaluated every fifth year of operation.

6.0 RESPONSIBILITIES

It is the responsibility of the Vice Chancellor for Academic Affairs and Research to approve the establishment of all centers and institutes and to precipitate their periodic review.

It is the responsibility of the Associate Vice Chancellor for Research, in collaboration with the Senior Associate Vice Chancellor for Academic Affairs and Research, to participate in the establishment of centers and institutes, to work with them on an ongoing basis to enhance research productivity, and to participate in periodic evaluations.

It is the responsibility of Deans and Chairs to sponsor development of the centers and institutes, monitor their ongoing activities when appropriate, and participate in periodic evaluations. It is likewise their responsibility to assure faculty release time when appropriate.

It is the responsibility of center and institute directors to:

- a. create strategic plans and goals in the context of the University's academic mission;
- b. ensure that the units' activities are consistent with their missions, goals, and objectives;
- c. interact with university faculty and administrators, as well as with external constituents;
- d. garner faculty, visiting scholar, and community stakeholder participation in the unit and secure affiliate appointments as appropriate via the chair, dean, or Provost;
- e. secure financial resources to support the center or institute and oversee fiscal matters and submitting financial reports as required;
- f. ensure that resources are used appropriately;
- g. employ and manage staff within the unit;
- h. ensure that terms contained in any grant and donor agreements are met;
- i. precipitate the development of annual and self-study reports; and
- j. ensure that all employees (faculty and staff) perform according to the ethical and moral standards of the University, and comply with all University, federal, state, local and University regulations and policies.

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7.0 PROCEDURES

7.1 Establishment

Program requests must include the following elements.

- a. **Statement of Need.** How the entity will advance the University's mission and what opportunities that currently do not exist will be possible if the center or institute is established.
- b. **Mission Statement, Goals, and Objectives.** A mission statement should be developed that clearly describes the center's purpose, goals and objectives. The statement should link to the University's statement of mission and should provide clear indication of desired outcomes.
- c. **Naming the Center or Institute:** The proposed name for the center and the rationale for the name. The Provost will evaluate the proposal and recommend its approval or disapproval. The Provost reserves the right to modify the proposal as appropriate.
- d. **Benefits.** The benefits garnered for faculty, students, staff and the community.
- e. **Communications Plan.** How the new unit will be communicated to the University community and to external stakeholders.
- f. **Relationships.** The relationship of the proposed unit to the faculty and to other educational programs, centers, institutes, the community, or other external constituencies.
- g. **Consultations.** The entities that have been consulted within and outside the University. Copies of any letters of support must be included with the proposal.
- h. **Business Plan.** The business plan should contain the following components.
 1. A budget that includes anticipated revenues and expenses for the first five years of operation.
 2. Current external funding, if any, and the duration of that funding. NOTE: A proposal must be submitted to and approved by the Provost prior to the initiation or acceptance of external funds. In some cases a grant proposal may be used to justify establishment of the center or institute. In such circumstances, the principal investigator must provide sufficient time for the Chair, Dean, and the Provost to evaluate the proposal.
 3. Potential sources of internal funding and amounts.
 4. Analysis of the anticipated true cost of the unit including any in-kind donations (e.g., personnel, operating supplies, travel, equipment, space, etc.)
 5. A long-term methodology and plan to sustain the unit.
 6. Listing of faculty and staff who will be involved in the proposed unit, what their roles will be, and the impact the new unit will have on their current responsibilities (if any). CV's for current faculty and staff should be included.
 7. The unit's proposed administrative structure and organizational chart.
 8. The space, equipment, or other physical requirements. Explain how existing facilities and resources will be used, or what facilities and resources must be added.

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7.2 Annual Reports

All centers and institutes, whether new or existing, are required to submit annual reports of their activities by August 1 of each year. These reports must contain the following elements:

- a. contribution to the visibility and stature of the university;
- b. contribution to scholarship in the areas in which the Center is positioned;
- c. involvement of faculty and students, including the names and disciplines of those who participate;
- d. ability to garner the resources necessary to effectively address the goals and objectives articulated in the unit's proposal;
 1. Number, dollar amount, and source of all competitive, extramural funding proposals.
 2. Number, dollar amount, and source of all competitive proposals funded.
- e. financial statement that provides the unit's operating costs;
- f. financial statement that provides the unit's true costs (including all in-kind contributions from the University or other sources);
- g. ability to utilize the Center's advisory board (if applicable) to enhance and expand the units' activities;
- h. reports of any obstacles encountered and the actions taken to overcome these obstacles, or the reason they were not solved.

7.3 Evaluation of New and Existing Centers and Institutes

Evaluation materials that must be submitted include:

- a. a copy of the document that established the unit;
- b. evidence of the unit's ability to enhance the academic mission of the university;
- c. extent of the unit's contribution to the visibility and stature of the university;
- d. a statement of the progress made in fulfilling the unit's goals and objectives;
- e. an evaluation of the impact the unit has had upon scholarship including publications, patents, creative activities, invited presentations, keynote addresses, service on federal panels, and awards or other special acknowledgements;
- f. an evaluation of the impact the unit has had upon teaching at both the graduate and undergraduate levels;
- g. an evaluation of the impact the unit has had on linkages with community stakeholders;
- h. an assessment of the external funding that has been garnered during the review period;
- i. an evaluation of the unit's long-term fiscal viability;
- j. an evaluation of the quality of the management of the unit;
- k. a listing of all visiting scholars and postdoctoral fellows who have worked or are working with the unit (if applicable);
- l. the efficacy of the unit's advisory board (if applicable);
- m. a financial statement of expenses incurred within the unit for the previous five years;

Subject to review of the Shared Governance Committee.

- n. a financial statement that articulates the unit's true costs (including all in-kind contributions from the University or from other source for the previous five years other relevant contributions .

The review process will include the following elements:

- a. The Provost, in consultation with the appropriate campus constituents, will appoint a standing committee consisting of six ASU faculty members who will serve on rotating, three-year terms. All of the faculty members shall have significant research experience, in addition to having secured at least one competitively funded grant or contract. At their discretion, the Vice Chancellor may also seek participation from external constituencies.
- b. The Associate Vice Chancellor for Research will serve as an ex-officio member of the Committee and his/her office will be responsible for administering the reviews.
- c. The Associate Vice Chancellor for Research will develop a schedule identifying the semester in which each unit will be reviewed. Each unit will be given at least one semester to prepare for the review.
- d. The center will prepare a self-study that addresses the evaluation criteria listed above.
- e. The center/institute director will have an opportunity to meet with the Committee and to answer any questions that may arise from the self-study.

After evaluating the self-study document and any external input, the Committee will report its findings to the Provost and Vice Chancellor for Academic Affairs and Research. The report shall articulate the unit's strengths and weaknesses and shall contain recommendations to 1) continue the center for an additional five-year period, 2) conditionally continue the center for a prescribed period until improvements (as articulated by the Vice Chancellor and the Committee) are met; 3) merge the unit with another unit on campus; or 4) dissolve the unit. In the latter case, the Committee should make recommendations to the Vice Chancellor about an orderly transition of any personnel or assets contained within the unit.

Proposed Research Governing Principles

Table of Contents

Priority Three

I. Externally Sponsored Programs

ARKANSAS STATE UNIVERSITY GOVERNING PRINCIPLES FOR EXTERNALLY SPONSORED PROGRAMS

1.0 INTRODUCTION

Arkansas State University (ASU) is committed to the pursuit of knowledge that enhances the world's store of information. In pursuing this goal, the University has designated the Office of Research and Technology Transfer to assist its personnel in securing and managing external funding to support research and other scholarly activities.

In the pursuit of its research mission, the University affirms that it does not discriminate against prospective or current students, prospective or current employees, or against individuals in affiliated organizations on the basis of race, religious creed, color, national origin, ancestry, physical or mental disability, medical condition, marital status, sex, age, sexual orientation, gender identity, veteran status, or any other characteristic protected by law. ASU likewise affirms its commitment to an open research environment whenever practicable, supporting the principle of freedom of access to data, processes, and results of research and preserves the faculty's right to select the best qualified employees and students to participate in University-sponsored research.

2.0 PURPOSE

The purpose of these principles is to: 1) affirm the University's commitment to maintaining an open and non-discriminatory research environment; 2) identify the Office of Research and Technology Transfer as the office designated to manage the institution's research effort; 3) establish eligibility standards for principal investigators, co-principal investigators, and project directors; 4) to facilitate preparation and submission of grants and contracts to external sponsors; and 5) ensure compliance with regulations prior to submission.

3.0 DEFINITIONS

Authorized University Representative: An employee who is recognized by ASU as an official signatory to approve all grant, contract, and other agreement activity with external sponsors.

Business Day: The standard University administrative workday (8:00 a.m. – 5:00 p.m.) that is not a national or University holiday or a weekend.

Co-Principal Investigators. Co-Principal Investigators are individuals who share responsibility for the scientific or technical direction of all or a portion of a project.

Cost Sharing or Matching. Cost sharing or matching is when the institution shares the expense of a sponsored project. Cost shares must be funded from non-federal sources and charged to

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separate cost sharing accounts. Gift funds may be used to meet a cost sharing commitment on a sponsored project if the purpose of the gift so allows. Cost sharing represents a commitment that, once made, represents a binding obligation and is considered an auditable expense.

Electronic Submission: Delivery of a proposal to a sponsor using the Web or Internet.

Equipment Loan Agreements. Equipment loans agreements are negotiated when a sponsor lends equipment to the University for research purposes. This type of agreement usually does not involve the exchange of funds, but enables ASU and industry researchers the opportunity to use each other's facilities.

Facilities and Administrative Costs (F&As). F&As are broad categories of costs that are incurred for common or joint objectives and cannot be identified readily and specifically with a sponsored project, an instructional activity, or any other institutional activity. "Facilities" refers to depreciation and use allowances, interest or debt associated with certain buildings, equipment and capital improvements, and operation and maintenance expenses. "Administration" is defined as general administration and expenses, departmental administration, sponsored projects administration, student administration and services, and all other types of expenditures not listed specifically in one of the subcategories of Facilities (including cross allocations from other pools.¹

Institution. Any domestic or foreign, public, or private entity or organization excluding a federal agency. For the purposes of this policy, the term *Institution* refers to ASU.

Material Transfer Agreements. (MTAs). MTAs are contracts by which tangible research property (e.g., biological organisms) is provided by external sources to ASU investigators for research, or by ASU investigators to external researchers. Material Transfer Agreements are processed as sponsored research projects.

Organized Research. Organized research activities are funded by both external sponsors (Sponsored Research) and by the University (University Research), and must be separately budgeted and accounted for. Together, these categories comprise the Organized Research distribution base, used to calculate the Organized Research F&A rate.

Principal Investigator (PI)/Project Director (PD). Often used interchangeably, these two terms refer to an individual who assumes full technical and fiscal responsibility for a sponsored project, including the supervision of other key personnel, research assistants, students, and staff. A Principal Investigator must have sufficient experience to responsibly manage the project and must be an employee of the University. Throughout this policy, the term *Principal Investigator (PI)* will also refer to the term *Project Director (PD)*.

¹ OMB Circular 21, Revised 5/10/04.

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Research Participation Agreements. Research Participation Agreements (RPA) is a type of sponsored program in which services of institutional personnel, academic facilities, and/or laboratory equipment are employed on behalf of parties not otherwise affiliated with the University. In many cases, a significant portion of the responsibility for the intellectual direction, interpretation, and/or outcome of the work rests with the outside user.

Scope of Work. A written statement specifying the tasks (including deliverables) to be completed for a specific project, cost, and period of performance.

Sponsor. Any governmental agency, private foundation, corporation, or association that provides financial project support.

Sponsored Program. A research project, program, scholarly activity, or community service project for which an external agency has provided financial support and for which a formal written agreement exists, specific outcomes or deliverables are expected, and technical and financial reports are required.

Subcontract. A subcontract is a formal contractual agreement with a participating organization for research collaboration and/or services under sponsored-program projects. The term does not apply to the normal procurement of supplies and research equipment.

University Research. University Research is scholarship and/or creative activities that are paid for with institutional funds. Institutional funding may include state funds, tuition and fees, gifts, endowment income, interest income, and technology licensing income.

4.0 APPLICABILITY

This policy applies to all ASU faculty, staff, and administrators who seek external support for research grants, contracts, and agreements from external sponsors. It does not govern the receipt of philanthropic contributions or clinical trial agreements.

5.0 APPLICABLE REGULATIONS

University Conflict of Interest/Commitment Policy

Governing Principles for University Effort Reporting

6.0 GOVERNING PRINCIPLES

6.1 Non-Discrimination and Openness in Research

ASU does not discriminate against students, employees, or individuals in affiliated organizations on the basis of race, religious creed, color, national origin, ancestry, physical or mental disability, medical condition, marital status, sex, age, sexual orientation, gender identity, veteran status, or any other characteristic protected by law. The University is likewise committed to an open, non-

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discriminatory research environment that supports freedom of access by all interested persons to data, processes, and results of research whenever practicable.

6.2 Project Submission

Proposals for extramural support of research, training or public service projects may be submitted only by ASU employees who:

- A. have primary responsibility for design, execution, and management of the project,
- B. will be involved in the project in a significant manner, and
- C. will serve as the Principal Investigator, Co-Principal Investigator, or Project Director for a research, training, or public service project.

All requests for support and award acceptance from external sponsors must be submitted to and approved by the Associate Vice Chancellor for Research. Deans, Department Chairs, and individual faculty or staff members are not authorized to submit applications for grants or contracts, nor to accept awards, contracts, subcontracts, or agreements on behalf of the University. **All proposals must be submitted in accordance with the following timelines.**

Category	Deadline for Submission to ORI (to guarantee on-time submission)
Matching Fund Requests	Three (3) weeks prior to sponsor deadline.
Electronic and Paper Submissions	At least two (2) business days before the sponsor deadline for compliance review Final (ready to submit) versions of proposals must be released to the Office of Research for submission no later than noon two (2) days before the sponsor's deadline date to ensure submission. Once released to the Office of Research, proposals will be submitted in the order they are received. Same-day submission cannot be guaranteed for any application released to the Office of Research after 9:00 a.m. on the deadline day. This timeframe provides an opportunity for Office of Research staff to review the

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	electronic application for necessary files, repair corrupted files, and overcome other problems that may preclude timely submission. Office of Research staff are not able to scan files, convert text to PDF, or do other large-scale proposal corrections. PIs should ensure that these requirements are met before releasing the proposal to the Office of Research.
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6.2 Eligibility Criteria for Principal Investigators

Individuals recommended for principal investigator or co-principal investigator status on a research, training, or public service project must possess qualifications which satisfy the general standards of research competence. Individuals recommended as project directors must be competent in the project area.

Individuals with faculty rank or other qualified ASU employees may serve as principal investigators, co-principal investigators, or project directors on proposals submitted to any outside funding agency in support of research, training, or other sponsored activities. Candidates for these leadership roles must have appropriate academic or experiential credentials and must have primary responsibility for the design, execution, and management of the project. Requests that are based solely upon rank or position will not be considered.

Candidates for principal investigator et al, obtain the approval of the Department Chair and the Dean or equivalent administrators to serve in a leadership capacity during the grant or contract submission process. Candidates, however, are strongly encouraged to talk to their chairs or comparable administrators well in advance of grant submission.

The review process should include consideration of the overall merits of the program and whether it: 1) assists the department and the University to achieve their educational, research, or public service goals; and 2) makes use of University resources in a manner that is consistent with departmental goals and objectives

6.3 Delegation of Principal Investigator Responsibilities

Primary responsibility for a project is vested in principal investigators, co-principal investigators, and project directors and may not be relinquished nor delegated explicitly or implicitly without the support and direction of the Associate Vice Chancellor for Research and the sponsoring agency.

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6.4 Cost Sharing/Matching

ASU recognizes that certain grant, contract, and cooperative agreement awards may require cost sharing, either through the use of internal funds, in-kind resources, or other external sources. Including cost sharing in a proposal may increase the likelihood that a project will be funded and demonstrates the University's commitment to the project. However, cost sharing implies at least some redistribution of department or school resources to support a specific sponsored agreement. Because these resources are often scarce, it is important not to over-commit funds when the sponsor does not require them and when the project can be completed without them. It should also be noted that cost sharing commitments have an effect on calculation of the University's Facilities and Administrative rate since they are included in the research base and excluded from F&A recovery.

To be included as cost share, proposed expenses must be:

- allowable and allocable under the federal regulations and the terms of the sponsoring agency;
- necessary, reasonable, and directly related to the project objectives;
- verified and recorded in the University's accounting records.

Commitment of University funds or in-kind resources for cost-sharing purposes must be approved by the department chair, dean, and Associate Vice Chancellor for Research before a proposal is submitted.

7.0 RESPONSIBILITIES

7.1 Proposal Preparation and Grant/Contract Administration

7.1.1 Office of Research responsibilities include:

- Reviewing all proposals for external support and for any necessary changes to ensure compliance with University policies and sponsor regulations,
- Authorizing proposal submissions, as long as their submission is consistent with the timelines set forth in this document,
- Negotiating award conditions with external sponsor representatives, and
- Accepting awards on behalf of ASU.

7.1.2 Principal Investigator Responsibilities

Pre-award responsibilities include

- Notifying the appropriate personnel in the Office of Research as early as possible prior to submission of proposals to external agencies;

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- Completing proposal/application in compliance with sponsor's guidelines and requirements;
- Developing project design;
- Attending to all compliance issues including, but not limited to transportation limitations and export controls; protection of human research subjects; animal care and use; all safety concerns (e.g., radiation, biohazards, laser; and general laboratory); and disclosure of potential or real conflicts of interest in research;
- Obtaining all necessary institutional approvals for submission of a proposal (e.g., Chair, Dean, ORI, Finance, and any other required approvals);
- Submitting annual conflict of interest in research disclosure materials and update any apparent or actual conflict of interest in research issues that may arise between annual disclosures;
- Developing accurate proposal budgets containing only allowable, allocable, and essential expense items;
- Determining effort for key personnel;
- Notifying the Chair and Dean of any released time or absences that will result if the proposal is funded, and obtain appropriate approvals for this time;
- Coordinating required cost sharing or matching funds (including tuition waivers) with Office of Research, and obtain appropriate approvals;
- Obtaining scope of work, budget, and institutional approval from any external subcontractors five (5) days in advance of the sponsor's deadline date;
- Submitting proposals, subcontract documentation, and the completed Transmittal Form with signatures of co-investigators and all appropriate Chairs and Deans to the Office of Research for review and approval in accordance with the timelines specified in Section 4.0 of this document; and
- If paper submissions are required by the sponsor, assuming responsibility for submitting the correct number of copies to the agency and mailing/delivering the application by the agency deadline.

The principal investigator's post-award responsibilities include:

- Supervising and maintaining progress of the technical aspects of the project to ensure the responsible and ethical conduct of activities according to award document and in compliance with University, sponsor, and local, state, and federal government requirements;
- Devoting effort to the project at the level agreed to with the sponsor;
- Ensuring all compliance issues are met for all key personnel including, but not limited to, conflict of interest in research reporting; effort reporting, and training in the protection of human subjects, animal care and use, and environmental safety;

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- Maintaining high-quality, accurate records of research for a period not less than the period of time that the sponsor requires;
- Maintaining research integrity, including the management of activities of project personnel;
- Ensuring responsible management of expenditures in accordance with awarded budget that are allowable, allocable, and essential, and ensuring that any budget changes or alterations are consistent with sponsor and University guidelines (excessive expenditures are the responsibility of the PI/PD and will be charged to a departmental account);
- Selecting, training, and evaluating project staff and providing necessary input and guidance to all students, post-doctoral fellows, staff, and research assistants to ensure the integrity of the project and compliance with sponsor and federal guidelines:
- Informing staff of all University and sponsor guidelines and regulations,
- Ensuring that project staff have the knowledge, resources, and tools necessary for the responsible conduct of research and the technical needs of the project;
- Managing acquisition of equipment, supplies, and personnel according to sponsor guidelines and University policies and procedures;
- Disclosing and managing intellectual property in collaboration with the Office of Innovation and Intellectual Property;
- Fulfilling all reporting requirements, both University and sponsor, in a timely manner, including:
 - Certifying time and effort on a semi-annual basis,
 - Certifying expenditures quarterly,
 - Submitting annual conflict of interest disclosures,
 - Monitoring conflicts of interest in research and immediately disclosing changes in actual or apparent conflicts,
 - Fulfilling sponsor reporting requirements, including technical progress and final reports, and
 - Working with the Office of Sponsored Programs to close the project at the end of the grant period; and
 - Analyzing and publishing findings.

5.3 Departmental Chair and School/College Dean Responsibilities

The Department Chair(s) and School/College Dean(s), or other appropriate unit head(s), review and approve the proposal in a timely manner, paying particular attention to any cost sharing that is included in the proposed budget, especially as it relates to the percentage of effort that a faculty member is devoting to the project. By signing the transmittal form, unit heads certify that they approve of the project, the involvement of the PI and other investigators and students (including released time), the budget, cost sharing, and any other considerations described in the proposal and the Transmittal Form.

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5.4 Awards Not Reviewed Prior to Submission

Awards for proposals that have not undergone proper review may encounter compliance problems with University or sponsor policies. The University reserves the right to decline an award that is not compliant with institutional, sponsor, or government regulations.

5.5 Authorized University Signatory

The Associate Vice Chancellor for Research and Innovation and designees are the official University signatories. **Deans, Department Chairs, and individual faculty and staff are not authorized to sign application forms on behalf of the University.**

8.0 PROCEDURES

8.1 Proposal Submission

8.1.1 Contact the Office of Research

PIs should contact the Office of Research as early as possible prior to submission of proposals to external agencies. ORI staff provides assistance with the review of proposals and projects to ensure compliance with University policies and sponsor regulations.

When funding is sought from an individual, please contact the Office of the Vice Chancellor for Development.

- PIs should provide as much of the following information as possible at first contact:
- A summary of the proposed project,
- The name of the funding agency and program,
- Copies of program guidelines, RFPs, RFAs, etc.,
- The deadline for submission,
- Special needs such as matching funds, tuition waivers, or use of institutional resources,
- The need for protection of human subjects, animal care and use, biohazards , or other safety approval, and a plan for obtaining that approval, and
- Evidence that the appropriate unit heads support the project.
- PIs must develop budgets that are accurate, reasonable, and adequate for the proposed project. The budget must follow institutional (ASU) and sponsor budget guidelines and, where applicable, all federal and state regulations. It is strongly recommended that investigators work closely with Office of Research staff in this process.
- ORI must approve budgets to both federal and private sources of research support.

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8.1.2 Obtain Institutional Review and Approvals

PIs and Co-Investigators for both paper and electronic proposal submissions must upload their submissions and all appropriate documentation to the electronic repository and submit the package to their chair or equivalent administrator for approval. Once the chair or equivalent administrator has approved, the package will be transmitted to the Dean or equivalent, and then to the Office of Research for final approval and submission.

8.1.3 Submit the Proposal to the Agency

The authorized University representative has authority for and responsibility to submit the proposals. If an agency requires that a principal investigator submit his/her proposal directly, the PI is responsible for ensuring that s/he has obtained all appropriate approvals, including approval of the authorized signatory for the University.

8.2 Award Acceptance

Usually, notification of an award is sent to the University. However if an award notice is sent directly to the PI, a copy must be sent immediately to the Office of Research for processing. **PIs cannot incur expenses without a University-assigned fund number and budget for a grant or contract. All external funds within the scope of this policy must be set up in a sponsored-program account.**

In most cases, a grant or contract award is made to the University on behalf of the researcher. An authorized University representative must sign a contract to accept the award. Deans, Department Chairs, and individual faculty or staff members are not authorized to sign award documents.

Office of Research and unit business managers will work with Sponsored Programs Accounting to establish a new fund number for a newly awarded grant or contract. The fund will include a line-item budget in accordance with the award budget, funding agency regulations, and University guidelines.

In order to fulfill audit requirements, all official correspondence or contact with the sponsor normally will be made through the Office of Research or the Sponsored Programs Office.

Any significant changes to grants need to be brought to the attention of Office of Research. Significant changes include but are not limited to:

- Changes in PI or PD,
- Changes in effort devoted to the project (see Effort Reporting Policy),

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- Budget revisions,
- Extension of grant period, and
- Change in scope of the project.

Any questions regarding this policy or the procedures mentioned herein should be directed to Office of Research and Technology Transfer personnel.