

RESOLUTION ON AUTHORITY & RESPONSIBILITY FOR RESEARCH
(#26-91/92-EP)

- WHEREAS, The Office of Academic Affairs has requested of the Academic Senate that it review and comment on the document entitled "Authority and Responsibility for Research"; and
- WHEREAS, The document sets forth appropriate guidelines and designations for the authority and responsibility for research; and
- WHEREAS, The second paragraph on page one of the document contains a number of ambiguities of language; therefore, be it
- RESOLVED: That the Academic Senate of Humboldt State University recommends to the Vice President of Academic Affairs that the first sentence in the second paragraph on page one be rewritten to lessen the ambiguity of language by inserting "the possibility of" between "where" and "discovery"; and be it further
- RESOLVED: That the Academic Senate of Humboldt State University recommends to the Vice President of Academic Affairs that the second sentence in the second paragraph on page one be rewritten to lessen the ambiguity of language by replacing "Everyone is responsible to provide" with "Responsibilities are broadly shared by the members of the University community for providing" and by replacing "everyone is responsible" with "responsibilities are broadly shared"; and be it further
- RESOLVED: That the Academic Senate of Humboldt State University recommends to the Vice President of Academic Affairs approval of the document entitled, "Authority & Responsibility for Research."

RESEARCH

Authority and Responsibility for Research

Humboldt State University

"The mission of Humboldt State University is to provide an environment where learning is the highest priority" (from our Mission Statement, revised 1991). Our primary purpose is to "provide individuals with quality undergraduate and graduate education." Our mission statement is unequivocal: "While instruction is central to the mission of Humboldt State University, the University also acts as a base for discovery through research and creative activities." The mission statement clearly articulates the idea that the scholarly community of the University participates in research and creative activities. Opportunities for original scholarship are envisioned for faculty, graduate and undergraduate students alike. "Research" is meant to include a broad range of scholarly and creative activities, and is a synonym for "scholarship."

In order for the University to provide an environment where discovery through research and creative activity exists, we must clearly organize authority and responsibility for this specific purpose. Everyone is responsible to provide an environment where research and creative activity take place, just as everyone is responsible for providing an environment conducive to instruction. However, specific responsibilities more appropriately vest with one office rather than another. The following outline describes an organization for authority and responsibility for research and creative activities consistent with the culture and climate of Humboldt State University.

VICE PRESIDENT FOR ACADEMIC AFFAIRS

The **Vice President for Academic Affairs** is responsible for developing and maintaining policy pertaining to research and creative activities. (Policies must comply with Title 5 of the California Administration Code and with certain Federal Regulations, e.g. Protection of Animal Subjects of Research, Protection of Human Subjects of Research, Misconduct in Research, Copyright Protection, etc.) The practice of the Vice President is to designate these responsibilities to the **Dean for Research and Graduate Studies**, who is advised by the **Advisory Board for the Center for Research and Creative Activities**. Adoption of new policy or amendment to existing policy is by action of the President upon the recommendations of the Executive Committee (including the Vice President for Academic Affairs) and the Academic Senate. By delegation, the Dean for Research and Graduate Studies is responsible for the implementation of the policies.

DEAN FOR RESEARCH AND GRADUATE STUDIES

The Dean For Research and Graduate Studies is responsible for

- (1) providing assistance and support for faculty and student research,
- (2) developing, maintaining and disseminating information on policy and procedures regarding research to assure compliance with both internal (HSU and CSU), and external (State and Federal) policies and regulations, and
- (3) providing leadership, in cooperation with the college deans and University Librarian, for an institutional conscience and awareness of the needs of student and faculty research.

The Dean for Research and Graduate Studies advocates and provides support for faculty development through direct administrative support for the Faculty Development Coordinator, and through direct support to individual faculty including providing information and assistance with development of proposals regarding leaves and sabbaticals, exchanges, Fulbright Grants, extramural grants, CSU programs and workshops, and HSU and other state funded grant competitions and workshops. In direct support of the Faculty Development Coordinator, the Dean for Research and Graduate Studies will support and offer workshops relating to faculty development, research, scholarship and creative activities. The Humboldt State University Foundation also assists in these efforts (see final paragraph of this document).

The Office for Research and Graduate Studies under the direction of the Dean for Research and Graduate Studies maintains the Center for Research and Creative Activities staffed by the Assistant for Sponsored Projects. The Assistant for Sponsored Projects' primary function is to assist faculty in the development of grant proposals. The Dean for Research and Graduate Studies is responsible for providing institutional support for faculty and institutes through the Center for Research and Creative Activities. The Dean for Research and Graduate Studies serves as an institutional advocate for the research needs of students and faculty. The Center for Research and Creative Activities provides office space and clerical assistance for institutes to the extent possible. This assistance is provided for the ongoing functions of the institutes and for grant seeking to support future functions of the institutes.

The Dean for Research and Graduate Studies is responsible for informing faculty of policies and procedures which influence their plans for research and creative activities. The objective

of this communication is to enhance the environment for research and creative activities and to facilitate these functions.

The final authority for providing resources for any particular research or creative activity vests with the President, and is delegated via the Vice President for Academic Affairs to the Dean for Research and Graduate Studies. As "Authorized Institutional Signer," the Dean for Research and Graduate Studies provides the institutional guarantee for timely and adequate completion of grants and contracts accepted by the university. The granting of institutional approval and guarantee depends upon the commitment of the college dean or University Librarian that the proposed project is not destructive to other college or departmental goals and priorities, and that space, equipment and other facilities are available for use and may be dedicated for the purposes of completing the proposed project.

COLLEGE DEANS and UNIVERSITY LIBRARIAN

College Deans / University Librarian and the Dean for Research and Graduate Studies work together to provide leadership and support for research and creative activities. In addition to general fund support, the Deans are responsible for assisting faculty in the development of grant proposals for outside support for facilities, equipment, and projects.

The College Dean / University Librarian is responsible for developing and maintaining college-level policy governing use of facilities and equipment for research and creative activities. By delegation, Department Chairs are responsible for allocating space, and permitting use of facilities and equipment for research and creative activities.

The College Dean / University Librarian is responsible for encouraging faculty to participate in research and creative activities, and in other forms of faculty development.

HUMBOLDT STATE UNIVERSITY FOUNDATION

The Humboldt State University Foundation assists Humboldt State University to achieve its mission through various services. The Foundation is the fiscal arm for all projects supported by funding external to the University's budget. Policies regulating these practices are stated in Executive Order 92-1, which is included as Appendix A.

The Foundation provides assistance in the development of proposals intended for submission to extramural sources, and particularly in budget development. The Foundation also provides direct financial support to faculty scholarship through the Small Grants Competition.



EXECUTIVE MEMORANDUM

Office of the President

January 10, 1992

P 92-1

Supersedes P 85-12, P 75-8, and P 78-13

SUBJECT: EXTERNALLY FUNDED GRANTS AND CONTRACTS

Pursuant to the California Administration Code (Subchapter 5 of Part V of Title 5) and related policies adopted by the Board of Trustees, the following policies have been recommended by the University Executive Committee and approved by the President.

- A. Proposals or requests for external funding of research, scholarly, or creative activities and for other special educational projects involving facilities or other resources, including campus personnel, may not be submitted to sponsoring federal or state agencies, public, or private corporations, private foundations or individuals without institutional routing and signature of the University's (currently the Dean for Graduate Studies and Research) and HSU Foundation's Authorized Signer. In the absence of the Dean of Graduate Studies and Research, the President's (or Acting President's) approval must be obtained. Proposals responding to solicitations by the Office of the Chancellor shall follow such institutional review procedures as are described in the solicitation.
- B. Humboldt State University Foundation is the designated auxiliary organization which is to function as contracting agency for grants and contracts. Proposal documents should therefore indicate that the request is submitted for Humboldt State University by and through the Humboldt State University Foundation. The Foundation is responsible and accountable by the project sponsor for the proper expenditure of funds. Grant and contract award documents are to be signed by the institution's authorized signer.
- C. The Foundation manages and meets the needs of research projects, workshops, institutes, and cooperative relationships with various governmental agencies. It utilizes resources coming from the federal government, other foundations, and, occasionally, other State sources, but not from the University Support Budget. Such programs become an official commitment of the University, and various University officials give attention to such matters while they perform their official State functions. The University, in giving its commitment to a project, is faced with the direct or indirect use of State funds to accommodate the physical needs of a project.
- D. The University shall critically review proposals to be forwarded for funding through the Foundation. Specifically, detailed scrutiny of three-year projections of program directions and growth as implied in academic proposals becomes essential prior to a University commitment to such proposals.

- E. Therefore, all proposals which are presented for submittal to a funding agency should have a companion document predicting first-through third-year university costs for modification of facilities (e.g., plumbing, electrical, carpentry, or other of the trades, and equipment or furniture needs) where the project's budget cannot accommodate such modifications. It must also include total space needs anticipated for its life expectancy. The proposal must be submitted for review at least six work days prior to deadline mailing date.
- F. For proposals requiring institutional cost sharing components, Project Directors shall furnish the Chief Fiscal Officer (Business Manager) with budget detail, including basis of computation, for institutional matching components. If a project requires direct contribution of State funds or diversion of funds from their budgeted purposes, either initially or at a future date, prior approval of the University, or the Chancellor's Office, if required, must be obtained. Commitment of any departmental funds must be approved, by signature, by the Department Chair and the Dean of the College.
- G. All costs, both direct and indirect, shall be recovered for each project.
- H. The University's Chief Fiscal Officer shall review and approve, by signature, the fiscal aspects of each proposal for funding.
- I. Proposals which will affect the instructional program in the areas of personnel, facilities, or equipment must have prior approval, by signature, of the Dean of Graduate Studies and Research.
- J. Travel of the Project Director or staff members in connection with project activities shall be previously authorized by the relevant Administrators. Claims for travel advance or reimbursement, if related to two or more projects or two or more sources of funding, must contain a statement that duplicate payment has not and will not be sought. Travel expenses properly related to two or more projects shall be distributed proportionately.
- K. Computations of salary and method of payment of same are subject to precise regulations and are based upon the academic year annual salary.
- L. Before any project hiring occurs, equal opportunity guidelines shall be followed.
- M. Equipment acquired through grant, contract, and similar funds becomes institutional property unless reclaimed by the funding agency.
- N. Budget modification of grants and contracts requires approval of the grantee prior to submission to the grantor.

Distribution: All Faculty and Staff