Academic Senate
Of
California Polytechnic State University
San Luis Obispo, California

Background Statement:

In September, 1981, Cal Poly adopted Administrative Bulletin 81-2 which identified research as an important form of professional development at Cal Poly. In February of 1985, the President issued Administrative Bulletin 85-2 which defined professional development and asserted its integral role in the educational mission of the university.

The 400 section of CAM is being reviewed and revised throughout the university. It is appropriate therefore, that the parts in the academic section governing research be updated to reflect the new policies. The update proposed generally involves no new information or policy: it incorporates the essence of the administrative bulletins already reviewed and approved by the academic senate; it deletes a section now covered in more detail in another section of CAM; and it incorporates recent directives from the Chancellor's Office concerning conflict of interest on proprietary research. It also proposes a minor change by proposing a flexible policy on proprietary research to enhance collaborative efforts with private industry.

AS-263-87/RC

RESOLUTION ON
RESEARCH CAM 452

WHEREAS, The reasons and benefits for pursuing research should be articulated in the body of the Campus Administrative Manual (CAM); and,

WHEREAS, CAM 452.5, which details the condition governing additional compensation, is now covered in CAM 324.2, and therefore redundant in this section; and,

WHEREAS, A policy on conflict of interest has been mandated by the Fair Political Practices Commission, is now in effect in the California State University, and should be reflected in CAM; and,

WHEREAS, The policy on proprietary research will profit from more flexibility to encourage collaborative efforts with private industry, therefore be it

RESOLVED: That the Academic Senate adopt the attached revision of CAM 452.

Proposed By:
Academic Senate Research Committee
November 3, 1987
Revised: December 1, 1987
It is university policy that the professional growth of faculty plays an important role in maintaining the vitality of the educational program. The university, therefore, treats professional growth as essential to its teaching mission. Insofar as research is an important form of professional development, it is to be encouraged and supported at all levels.

Title 5 of the California Administrative Code prescribes that university research should complement the primary function of the California State University which is to provide undergraduate and graduate instruction through the master's degree. Within this context, research can produce several benefits: 1) increased instructional effectiveness and relevance of the curriculum; 2) enhanced placement potential for Cal Poly graduates; 3) improved opportunities for accreditation of academic and professional programs; 4) augmented institutional resources through grants and contracts; and 5) greater appeal of the university to qualified faculty.
The Faculty research activities of the university are actively encouraged by the administration of the university and by the Academic Senate. To give direction to this effort, the University Academic Senate Research Committee was established as a committee-of-the-Academic-Senate. The Research Committee directs its recommendations affecting university-wide policies and procedures both to the President via the Academic Senate, and to the Vice President for Academic Affairs. The Director of Research Development is responsible to the Vice-President for Academic Affairs and is permanent secretary to the University Research Committee.

Research projects may include the following types of activities: community service research, institutional research, research in the California State University graduate programs, and individual faculty research.

Although the definition of the term "research" varies with each discipline, it includes the following basic and applied activities: the creation of fundamental knowledge; the creation of generalizable solutions to the immediate problems of the classroom, discipline, business, industry, or government through investigative or development activities; and the pursuit of new art
forms and expressions.

452.63 Research projects should not interfere with the normal use of laboratory, classroom, or other space furnished by the State for the instructional program of the university.

Projects supported by outside agencies normally pay the full costs of research, both direct and indirect, including facilities usage fees, etc., unless provisions for cost sharing have been made explicit in advance and approved by the university on the proposal approval form.

452.24 Administration of research projects activities must be compatible with appropriate rules and regulations of the sponsoring agency, the State of California, the Trustees of the California State University, the Office of the Chancellor, and the university administration.

452.25 The university will not approve participation in only those sponsored research projects for government agencies or private industry which are "classified" or "secret" in nature. While there are many different interpretations and definitions of these two words, the basic underlying principle of this policy is that unless the university is free to make public in which
there is assurance that results can be made public within a reasonable length of time. During the conduct of the project, the university must be able to disclose in general terms the purpose and scope of a-proposed research-project-it-will-not-be-approved-or-endorsed-by the-university. the project. This provision is not intended to jeopardize proprietary rights which may result from research activity (see CAM 544 regarding patent policy and procedures).

452.3 Research-activities-should-increase-the-effectiveness of-instructional-assignments.

452.4 Faculty-members-employed-full-time-by-the-university during-the-academic-year-shall-not-undertake-research projects-for-extra-compensation-during-the-same-period of-more-than-the-equivalent-of-1/4-the-full-time-load.- (See-CAM-324.2)

452.5 Research-Compensation-Rates

A. A-faculty-member-normally-employed-on-an-academic year-basis-who-becomes-employed-full-time-on-an authorized-research-project-may-be-compensated-at a-rate-up-to-1/3-of-the-"annual-salary"-per quarter,-or-proportionate-share-thereof-for-lesser time-periods.--(i.e.:,-1/9-per-month,-1/35-per
A full-time faculty member regularly employed on an academic-year basis who has been authorized under GAM-324 to be additionally employed part time on an authorized research-project may be additionally compensated up to the rate proportional to the "annual-salary" as defined in A-r-above (See GAM-452-r4)

Faculty or staff members regularly employed on a 12-month basis who have been authorized to participate in research projects may be compensated as in A-r- or B-r- above except that the rate of compensation may be up to 1/240 of their "annual-salary" per day, or proportionate share thereof for other time periods.

Faculty member employed on an academic-year basis may be additionally employed full-time on research projects for not more than 15 weeks in any one calendar year.
Faculty working on sponsored research projects may be released from teaching responsibilities for research reimbursed through a grant or contract. Faculty may work for additional compensation following guidelines laid out for additional employment in CAM 324.2 and in the Memorandum of Agreement.

Materials, supplies, and equipment of $25 or more in value purchased or given for research projects carried on in university facilities will become the property of the university or the Foundation unless prohibited by the funding contract. Upon termination of the project unless otherwise specified in the sponsoring agreement.

It is the responsibility of the project director, who may be the staff member so designated by mutual consent of the group wishing to conduct the research activity, to develop the proposal. Sponsored research project requests to be supported by the university budget or other sources should must be prepared in accordance with established administrative procedures, and must be reviewed at all appropriate levels and approved by the Coordinator, Research Development. Projects and an interdisciplinary nature should be reviewed by the several subject areas involved.

Signatures are required from the department head.
and, for projects with a total budget of more than $10,000, from the appropriate Vice-President or Dean of Students. Information on sources of funding and program application forms may be obtained from the Office of Research Development. All units of the university and its auxiliaries likely to be affected by a project should review a proposal prior to its submission to a sponsor. A proposal approval form, available in the Grants Development Office, is used to secure internal approval for proposals.

Suitable provision by the University Research Committee should be made for adequate records of all projects considered, and the disposition of each.

Conflict of Interest: The California Fair Political Practices Commission requires that the California State University ensure that no conflict of interest exists when the research of principal investigators is supported by non-governmental sponsors. For proposals to all such sponsors, the principal investigator must file a Statement of Economic Interest (Form 730-U) with the Grants Development Office prior to submitting a research proposal, or with the academic dean's office prior to accepting a gift for research. Financial
interest, if it exists, is reviewed by an Independent Review Committee, and recommendations are made to the Vice President for Academic Affairs concerning any potential conflict of interest.
Memorandum

To: A. Charles Crabb, Chair
   Academic Senate

From: Warren J. Baker
      President

Subject: CAM 452 Revision

Thank you for sending me the Academic Senate Resolution on Research (AS-263-87/RC). I have approved it as submitted. The text of CAM 452 has been forwarded to Howard West for inclusion in the next revision of the 400 section of CAM.

Thank you for your thoughtful consideration of this important matter.