

CHAPTER # 200

ACADEMIC AFFAIRS

260 RESEARCH AND GRADUATE PROGRAMS

The Office of Research and Graduate Programs provides leadership and support to Cal Poly faculty and students in their pursuit of excellence in graduate education and in their research and creative efforts. The Department proactively strives to foster an environment in which the research and creative accomplishments of faculty and students are encouraged and rewarded and in which high quality graduate programs emerge, thrive and evolve.

The Research and Graduate Programs Office identifies and creates opportunities for financial support of these activities; advocates for Cal Poly's graduate programs and research activities, both on campus and at the local, state and national levels; and promotes the reputation of Cal Poly's graduate programs, research and scholarship locally, nationally and internationally. To achieve these ends the Office of Research and Graduate Programs, and its constituent Grants Development Office, collaborate with students, faculty, staff and administrators in programs, departments, colleges and administrative units of the University, with the Cal Poly Foundation, and with various private and governmental organizations.

261 Research

The research activities of the University are encouraged and guided by the University administration, in general, and in particular, by the academic deans and the Dean of Research and Graduate Programs. "Research" encompasses a variety of scholarly and creative activities, including basic and applied research, community outreach and demonstration projects, student research projects and graduate theses, and projects in the humanities and creative arts. While the teaching mission of the University is primary, research and professional development are recognized as essential functions of the faculty and key to maintaining the excellence of the teaching programs. In turn, the University is committed to providing the necessary environment to foster research and other professional development activities.

261.1 Compliance

Research activities at the University must comply with a variety of federal, state, CSU and University regulations. Several different policies, described in this section, address research compliance matters.

261.1.1 Policy for the use of human subjects in research

Cal Poly, San Luis Obispo is committed to the protection of human subjects in research. To assist with this goal, the University has designated a **Human Subjects Committee** (also called **Institutional Review Board**, or **IRB**) to review proposals for research involving human subjects. The Committee evaluates the research only in terms of its compliance with ethical standards regarding the treatment of subjects. While individual researchers are ultimately responsible for their practices,

the Committee's review is designed to provide objective input as an additional protection for the subjects. In addition, the independent review by the Committee is of benefit to those who could be held accountable for the research practices -- the researchers and the University.

All institutions at which research involving human subjects is carried out are required by law to have an institutional review board (IRB) to oversee those projects when the research is supported by a federal agency. It should be noted that investigators who will carry out federally funded research involving human subjects that is not "exempt" from review under federal guidelines, are required to receive authorized training in the ethical principles and procedures for carrying out such research. Federal funds will not be awarded without proof of this training. Training materials authorized by the Office of Human Research Protections (OHRP) are available on CD in the Grants Development Office. Even if the research is not federally funded, however, it is Cal Poly's policy that a review of compliance with ethical guidelines be completed on all research involving human subjects conducted at Cal Poly. Similarly, reviews must be done of all off-campus research on human subjects carried out by Cal Poly faculty, staff, and students when they are conducting the research as an aspect of their roles as faculty, staff, or students of the University. The Committee is not responsible for reviewing research on human subjects that is conducted by a University employee or student as a function of their independent consulting work or their work for another institution.

In accordance with federal guidelines for the protection of human subjects, research involving human subjects is defined as any systematic investigation of living human subjects or human materials that is designed to develop or contribute to generalizable knowledge. Human subjects research that requires review by the Committee includes faculty research, master's theses, and senior projects as well as research conducted on campus by parties not directly affiliated with the University. While the ethical principles for research are often applicable to classroom activities, demonstrations, and assignments, the Human Subjects Committee does not review classroom activities unless data will be collected and used in a systematic investigation.

Full policy text can be found at www.calpoly.edu/~scdavis/human.htm.

Reference

- Office responsible for implementation: Research and Graduate Programs
- Related University policies/documents/manuals/handbooks: Policy on the Administration of Sponsored Programs at California Polytechnic State University (Cal Poly); CSU-EO890
- Laws, regulations or codes of practice that should be referred to in conjunction with the policy: Federal Policy for the Protection of Human Subjects (<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.htm>); Office of Human Research Protections (OHRP) Institutional Review Board (IRB) Guidebook (<http://www.hhs.gov/ohrp/references/resource.htm>); The Belmont Report, 1979
<http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.htm>

261.1.2 Regulations, policies and standards for the care and use of animal subjects in teaching and research

The humane care, use, and treatment of vertebrate animals used for instruction, research, or related purposes is a campus responsibility. It is the policy of California Polytechnic State University to comply with federal, state, University, and other regulatory requirements as they relate to the acquisition, care, use and treatment of animals in the performance of authorized instruction and research. The Institutional Animal Care and Use Committee must provide assurance to a number of agencies that animals in all projects and activities are humanely cared for, used and treated in accordance with professionally acceptable standards. Accordingly, the committee has been charged with oversight and review of all qualifying campus animal care and use facilities and procedures.

In order to provide for the adequate discharge of this responsibility, all ongoing or proposed projects or activities in which vertebrate animals are used in teaching and/or research must be reviewed by the committee. This policy is applicable regardless of whether extramural funds or intramural funds are used, and includes those cases where no reimbursement for such study is involved.

Full policy text can be found at www.calpoly.edu/~rgp/animalcare.html.

Reference

- Date approved:
- Office responsible for implementation: Research and Graduate Programs
- Date when policy is to be reviewed and by whom: Not specified
- Related University policies/documents/manuals/handbooks: Policy on the Administration of Sponsored Programs at California Polytechnic State University (Cal Poly); CSU-EO890
- Laws, regulations or codes of practice that should be referred to in conjunction with the policy: Animal Welfare Act, Public Law 89-544, 1966, and succeeding amendments.
(<http://www.nal.usda.gov/awic/legislat/usdaleg1.htm> ; 1996 Guide to the Care and Use of Laboratory Animals, National Academy of Sciences (<http://www.nap.edu/readingroom/books/labrats/>); Public Health Service Policy on Humane Care and Use of Laboratory Animals, as amended in August 2002, and any subsequent revisions (<http://grants.nih.gov/grants/olaw/references/phspol.htm>); Applicable provisions and regulations of Title 9, California Administrative Code, CALOSHA; Applicable provisions and regulations of the California Department of Public Health; Applicable provisions and regulations of the California Department of Fish and Game; Applicable provisions and regulations of the Endangered Species Act of 1973, P.L. 93-205, and succeeding amendments; Applicable provisions and regulations of the Marine Mammal Protection Act of 1972, P.L. 92-522, and succeeding amendments.

261.1.3 Policy on conflict of interest in externally funded research

Investigators will disclose to the responsible representative of the institution all significant financial interests of the Investigator (including those of the Investigator's spouse and dependent children) (i) that would reasonably appear to be affected by the activities funded or proposed for funding, or (ii) in entities whose financial interests would reasonably appear to be affected by such activities.

The term "Investigator" means the Principal Investigator, Co-Investigators, and any other person at the institution who is responsible for the design, conduct, or reporting of activities funded or proposed for funding.

Investigators must provide all required financial disclosures at the time a proposal is submitted to any potential funding agency. Investigators must update those financial disclosures during the term of the award, either on an annual basis, or as new reportable significant financial interests are obtained (including during the course of the project if award is made). The Investigator must complete the "Investigator's Statement of Economic Interest" and other disclosure statements (1) whenever he/she makes application for a new or renewal contract or grant, or (2) whenever a gift is specified by a donor for a specific Investigator or for a specific project for which the Investigator is responsible. The disclosure must be made before the proposed gift is accepted or application for funding is made for a new or renewed project or grant. The activity may not proceed without completion of the financial disclosure statement. An "Investigator's Statement of Economic Interests" form must be filed within 90 days after the gift funds are exhausted, or the project is completed.

Full policy text can be found at <http://www.calpoly.edu/~rgp/conflict.html>.

Reference

- Date approved:
- Office responsible for implementation: Provost and Vice President for Academic Affairs
- Date policy to be reviewed and by whom: Periodically by Conflict of Interest in Research Committee
- Related University policies/documents/manuals/handbooks: Policy on the Administration of Sponsored Programs at California Polytechnic State University Cal Poly); CSU- EO890
- Laws, regulations or codes of practice that should be referred to in conjunction with the policy: California Government Code 87300, CSU Conflict of Interest Code

261.1.4 Policies and procedures for the handling of allegations of scientific fraud and serious misconduct.

Fraud in the conduct of research undermines the scientific enterprise and erodes the public trust in the University community to conduct research and communicate results using the highest standards and ethical practices. All members of the academic community - students, staff, faculty, and administrators - share the responsibility to maintain practices and standards that will ensure the ethical conduct of research, and procedures for the detection and appropriate handling of

violations of these practices and standards.

The policies and procedures herein apply to faculty, staff, and students. They are not intended to address all academic issues of an ethical nature. For example, the conduct of students in examinations, discrimination and affirmative action issues, and other areas are covered by other institutional policies. Disciplinary actions, if any, also may involve other existing policies and procedures. For example, faculty and staff are covered by individual collective bargaining agreements and state law, and students are subject to the Campus Student Disciplinary Process.

Cal Poly will pursue every complaint about conduct that raises legitimate suspicion of scientific fraud or serious misconduct. All allegations should be reported to the Dean for Research and Graduate Programs. If he/she has a conflict of interest, the allegation should then be referred to the Provost and Vice President for Academic Affairs. Accusations against students will also be reported to the Vice President for Student Affairs.

Full policy text can be found at www.calpoly.edu/~rgp/fraud.html.

Reference

Date approved: January 12, 1996

Office responsible for implementation: Research and Graduate Programs

Related University policies/documents/manuals/handbooks: Policy on Conflict of Interest in Externally Funded Research; Policy for the Use of Human Subjects in Research; Regulations, policies and standards for the care and use of animal subjects in teaching and research; Policy on the Administration of Sponsored Programs at California Polytechnic State University (Cal Poly); CSU-EO890

Laws, regulations or codes of practice that should be referred to in conjunction with the policy: federal policies and regulations on responsible conduct of research, including scientific fraud and misconduct; guidelines of the Office of Research Integrity (<http://ori.dhhs.gov/>)

261.1.5 Policy on the administration of sponsored programs at Cal Poly

Sponsored programs provide significant benefits to the University and further its educational mission by facilitating research, workshops, conferences, and other projects that enrich the scholarly endeavors of faculty and students and enhance the services provided by the University to California communities and the nation. This document delineates or refers to policies, procedures and organizational structures for the administration of grants and contracts denoted as sponsored programs/projects. All procedures and actions are designed to conform to federal and state laws and regulations, CSU, University and Foundation policies. In the event that a given contract or grant contains terms and conditions that are not in conflict with, but are more restrictive than, those provided in the campus policy, the more restrictive terms and conditions of the grant or contract shall prevail. The intent of this policy is to ensure that the administration of sponsored programs maximizes the benefits of these programs; effectively supports faculty, students, and administrators in securing funding for and carrying out sponsored activities; and is in compliance with CSU policy including Executive Order 890 or its

successor. (See <http://www.calstate.edu/EO/EO-890.pdf>).

Full policy text can be found at www.calpoly.edu/~rgp/pdf/policysp.pdf .

Reference

- Date approved: 7/1/04
- Office responsible for implementation: Various administrative offices
- Date to be reviewed and by whom: Not specified
- Related University policies/documents/Manuals/handbooks: Various policies and guidelines referenced in the full policy
- Laws, regulations or codes or practice that should be referred to in conjunction with the policy: Various, referenced in the full policy and related policies

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Policy for the Establishment, Evaluation and Discontinuation of University Centers and Institutes

A center or institute may be formed as an organizational entity within the University if the teaching, research, or public service activities of the faculty members who participate will be improved or if the activities cannot be supported by a single department. A center or an institute can enhance professional development opportunities for faculty, build links with industry and the community, provide identifiable campus entities for practitioners, foster interdisciplinary work, aid in obtaining external support, and complement the instructional program. An institute is a unit that has more than one interest and/or function. A center is a unit with one interest and/or function. An institute may encompass a number of units or centers.

A proposed center or institute must receive conceptual approval from the Academic Deans' Council and Provost and Vice President for Academic Affairs before a formal proposal can be submitted. Full approval requires Academic Senate review, *ad hoc* administrative review, Deans Council recommendation, recommendation by the Provost and Vice President for Academic Affairs to the President, and Presidential approval. Centers and institutes undergo regular evaluation through the University's Academic Program Review Process. They may be discontinued as a result of this process, or at any time according to the bylaws of the unit.

Full policy text can be found at www.calpoly.edu/~rgp (ADD SPECIFIC WEB PAGE WHEN REVISED TEXT IS APPROVED AND DOCUMENT POSTED)

Reference

- Date approved: original approval, 1987; updated, 2004
- Office responsible for implementation: Research and Graduate Programs
- Date to be reviewed and by whom: Not specified
- Related University policies/documents/manuals/handbooks: Policy on the Administration of Sponsored Programs at California Polytechnic State University (Cal Poly); CSU EO-890; CSU EO- 751; Guide to the administration of gifts, sponsored support and other resources acquired

through external relationships
(<http://www.calpoly.edu/~rgp/pdf/giftsgrants.pdf>)

- Laws, regulations or codes of practice that should be referred to in conjunction with the policy:

263 Intellectual Property

(THIS SECTION IS PENDING)

264 Indirect Cost Recovery and Uses

264.1 Definition of indirect costs

Indirect costs, also called F & A (facilities and administrative) costs, are defined by the federal government as those costs incurred in the development, administration and conduct of sponsored projects that go above and beyond the direct costs of a specific project. Such indirect costs include expenses for space and facilities (excluding renovations and new construction), office and laboratory equipment, maintenance, utilities, library use, basic telephone and computer support, accounting functions, and department, college and University administrative costs incurred in the conduct of government- and privately sponsored research, development, instructional, training, service, consulting, and demonstration projects.

264.2 Recovery of indirect costs

It is the policy of the CSU and the University to seek full indirect cost reimbursement for each sponsored project, whether administered by the University or the Foundation. The University and Foundation negotiate periodically with the federal government to establish an indirect cost rate (percentage), which, when applied to the direct costs of a sponsored project, results in full indirect cost recovery. It is the expectation of the federal government that this rate will be used for all sponsored projects carried out by the University.

264.3 Use of indirect costs

Recovered indirect costs are used to support the administrative costs associated with sponsored projects, including the staffing and operations of Foundation Sponsored Programs and the University's Grants Development Office. Recovered indirect costs that remain after meeting such expenses will be allocated to various uses in support of future sponsored projects and research and development activities. At the end of each fiscal year, the Dean of Research and Graduate Programs submits to the President a report on sponsored program activities during that year, including recovered indirect cost income, and makes recommendations for the allocation of any uncommitted indirect cost funds.

265 State Faculty Support Grants

The State Faculty Support Grant (SFSG) Program supports research, scholarship, and creative activities that help faculty remain current in their disciplines and contribute new knowledge, with the intent of strengthening California socially, culturally, and economically. These activities should use approaches appropriate to

a discipline or field to create new and generalizable knowledge, or to develop new art forms or expressions.

The SFSG program is funded by the CSU Chancellor's office through an award to the campus and must conform with the CSU program guidelines.

Faculty defined as members of Unit 3 are eligible to compete for funding. Priority will be given to non-tenured faculty; those in disciplines with few outside sources of support for research, scholarship, and creative activity; and to projects likely to lead to the acquisition of external funding.

Grants will not be awarded for instructional improvement *per se*, and course development or evaluation. Grants will not be awarded for the purpose of attending conferences, courses, workshops or professional meetings, whether or not these involve the presentation of scholarly work.

All proposals will be reviewed by the Academic Senate Grants Review Committee and internal or external reviewers as necessary. Since the awards are contingent on approval of the budget for the next fiscal year, they will usually be made in the Fall quarter of that year.

Following completion of the grant, a final report with an extended (one to two page) abstract must be filed with the Office of Research and Graduate Programs.

Full text of these guidelines can be found at <http://www.calpoly.edu/~rgp/pdf/sfsg.pdf>

Reference

- Date approved: 1988, with subsequent minor revisions
- Office responsible for implementation: Research and Graduate Programs
- Date to be reviewed and by whom: Annually, by Academic Senate Grants Review Committee
- Related University policies/documents/Manuals/handbooks: CSU-AAP 88-26 (Guidelines for allocation of funds received through the program change proposal on research, scholarship, and creative activity)
- Laws, regulations or codes of practice that should be referred to in conjunction with the policy:

266 Graduate Programs

266.1 Administration and Oversight

Administrative direction and control of authorized graduate programs are through normal college and department line channels. Coordination of graduate programs among colleges and departments, and oversight of compliance with University and system-wide guidelines for curricula and courses, admission to graduate programs, awarding of degrees, and other graduate program guidelines and policy is the responsibility of the Dean for Research and Graduate Programs. The Graduate Studies Committee provides advice and recommendations in these areas.

266.1.1 Graduate Studies Committee

Interaction among graduate programs of different colleges and departments and recommendation of campus guidelines for curricula and courses, admission to graduate programs, awarding of graduate degrees and other graduate program matters will be accomplished by this committee.

Membership: The committee is appointed by the President and reports to the Provost and Vice President for Academic Affairs.

- Dean, Research and Graduate programs (Chair)
- All graduate program coordinators, named according to established procedures in the respective colleges, who will serve for the duration of their appointment by their respective colleges.
- The single subject and multiple subject coordinators, named according to established procedures in the University Center for Teacher Education, who will serve for the duration of their appointment by the University Center for Teacher Education.
- One representative from the Library, nominated by the Dean of Library Services.
- Two graduate student representatives, nominated by the President of the ASI (annual appointment).
- One representative from Student Affairs, nominated by the Vice President for Student Affairs.

The term of office shall be two years, unless specified otherwise.

Meetings: Quarterly, or more often, on call of the Chair.

266.2 Master's Programs

Master's degree programs must be consistent with provisions of Section 40510 of Title 5, California Code of Regulations, and with system-wide and campus regulations.

Master's degree programs must be appropriate within the framework of the Master Curricular Plan for the California State University as adopted by the Board of Trustees, and must meet criteria for justification developed by the Chancellor's Office and the Trustees.

Current admission requirements, procedures, standards and other regulations applicable to graduate programs are published in the Cal Poly Catalog.

New Master's programs must meet the criteria for establishment of new degree programs that are in effect at the time the program is proposed. These will include, at a minimum:

- fit within the campus' Academic Master Plan
- adequacy of resources
- need for the program in terms of student demand and unmet state/regional

- manpower needs
- quality and number of program faculty
- quality and number of program course offerings

266.3 Joint Doctoral Programs

The CSU campuses are authorized to develop joint doctoral programs with University of California campuses and other independent accredited Ph.D.-granting institutions. General procedures for the development of joint programs can be found at <http://www.calpoly.edu/~rgp/graduate.programs.html>.