Meeting Agenda

Research Board

Date: 26 April 2012
Time: 1500-1630
Location: ME Conference Room

I. Communications
   a. Update and Announcements (Fouts & Kuska)
   b. FY13 Indirect Update
   c. Process Improvement Status
   d. NRC Visit

II. Discussion
   a. Who Can Be a PI/PD
   b. DoR 2012 Budget
   c. Research Portal
   d. Draft Document on Institutes

III. Action Items
   a. NTT Faculty Committee
Supplementary Documents
Subj: Sponsored Research, Education, Professional Development, and Service: Who Can be a PI or PD?

Roles and Responsibilities: The terms Principal Investigator (PI) and Project Director (PD) designate individuals who have well-defined formal roles with respect to sponsored projects. PIs & PDs are responsible for ensuring that their sponsored projects meet their goals and align with the NPS educational mission. The PI/PD has prime responsibility for achieving the deliverable, managing the project’s funds and ensuring compliance with university policy, sponsor policy, and other relevant regulations. PIs and PDs are expected to maintain the highest standards in their scholarly work and the deliverables in their sponsored projects. These roles are considered privileges and are described below.

Principal Investigator (PI): The person who has primary responsibility for the design, execution, and management of a sponsored research project and is named on the proposal to the sponsoring agency. The PI has the primary responsibility for the fulfillment of the Statement of Work.

Project Director (PD): The person who has primary responsibility for the design, execution, and management of a sponsored education, professional development, or service project and is named on the proposal to the sponsoring agency. The PD has prime responsibility for the fulfillment of the Statement of Work.  

Co-Principal Investigator/Project Director (Co-PI/PD): A person named on the sponsoring agency proposal as a co-author, sharing responsibility with the PI/PD for the fulfillment of the Statement of Work. Even when assisted by co-PIs/PDs, the PI/PD continues to have the primary responsibility for the project.

Program Manager: A person to whom a PI or PD has delegated responsibility for managing a sponsored project, and who will be involved in the day-to-day operations of the project. The PI/PD can designate a co-PI as PM.

Other personnel: The PI or PD can designate other persons as project participants, consistent with sponsor guidelines for overall execution of the activity. These additional participants can include members of the academic teaching staff (Lecturers and Senior Lecturers), academic

1 For the delivery of sponsored/reimbursable education programs, the Chair/Dean retain the authority and responsibility for the approved NPS programs offered within their School. This authority pertains to assurance of academic credit, assignment of oversight personnel (e.g., academic associate), assignment of faculty to teach, and determination of degree or certificate requirements.
research staff (Research Associates and Research Assistants), postdoctoral scholars, instructors, or other researchers.

Policy: Only eligible Naval Postgraduate School faculty participating in the mission of the NPS may submit proposals and act as PIs/PDs for sponsored projects. The following faculty are eligible to serve as research PIs or co-PIs: tenured/tenure-track appointed faculty, non-tenure track research faculty at the assistant research professor/associate research professor/research professor level, professors of practice, military faculty appointed at the Assistant/Associate/Professor level, and senior lecturers with an established record of sponsored research at a university or similar institution or other relevant professional experience. The following are eligible to serve as PDs or Co-PDs: tenure/tenure track appointed faculty, military faculty appointed at the Assistant/Associate/Professor level, non-tenure track educational faculty holding the rank of senior lecturer with significant teaching experience at the graduate level, and professors of practice. This policy is consistent with Title 10, Chapter 605, Section 7050 and NAVPGSCOLINST 3900.1C.

Exceptions: Exceptions to this policy require approval by both the department chair and appropriate School Dean for the four graduate schools, or the institute director/VP-Research for the Institutes. In the cases where an exception is granted, it will be the Chair/Dean (or institute director and VP-Research for institute personnel) signatures on the proposal that designates the proposed PI/PD (if not aligned with the categories in Appendix B) has been approved as an exception to policy.

APPENDIX A: Proposed Implementation Plan

a. Any individual in the Research or Education Associates/Assistants categories who are currently PIs/PDs may continue through the term of an existing project. Then their PI/PD authority stops.

b. Any individual in the PI/PD Research or Education Associates/Assistants categories, who qualify (by degree and other criteria) for re-categorization to a faculty category that is allowed PI/PD authority, may seek reclassification through their Chairs/Directors/Deans.

c. As is current practice, upon hiring of a new faculty, the department chair will indicate whether the new faculty is to have PI/PD authority. A School Dean or Dept. Chair may decline to give PI/PD authority to someone who is in an “allowed” category, except for the category of tenured or tenure-track faculty.
APPENDIX B: Matrix for Principal Investigator/Project Director Eligibility (x implies eligibility)

<table>
<thead>
<tr>
<th>Faculty Category</th>
<th>Research</th>
<th>Education: for credit program</th>
<th>Professional Ed. &amp; Other Sponsored Activity</th>
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<tbody>
<tr>
<td>Tenure Track Faculty (Full/Assoc/Asst)</td>
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<td>x</td>
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<td>School Deans and Dept. Chairs</td>
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<tr>
<td>Non-Tenure Track Research Professor Series (Full/Assoc/Asst)</td>
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<tr>
<td>Non-Tenure Track Teaching Faculty (Senior Lecturer/Prof of Practice)</td>
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<tr>
<td>Non-Tenure Track Teaching Faculty (Lecturer)</td>
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<tr>
<td>Military Faculty (Prof/Assoc/Asst)</td>
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<tr>
<td>Research/Administrative/Education Associates</td>
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<td>Visiting Faculty</td>
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<td>Detailees (MOU assigned)</td>
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<td>Miscellaneous: Staff Appointments i.e. Directors, VPs</td>
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## APPENDIX C. Matrix for Program Manager Eligibility (x implies eligibility)

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<th>Professional Ed. &amp; Other Sponsored Activity</th>
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<tr>
<td>Non-Tenure Track Research Professor Series (Full/Assoc/Asst)</td>
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<td>Research/Administrative/Education Associates</td>
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<td>Visiting Faculty</td>
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<td>Detailees (MOU assigned,)</td>
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<tr>
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Restructure Proposal

Institutes—Recommendations

4/20/12 DRAFT 5

Dan Boger, Peter Denning, Susan Sanchez

Note: These are intended for campus-wide research institutes, not for existing units on campus (DRMI, MEYER) that have “institute” in their name but much more focused missions.

PRIMARY RECOMMENDATIONS

Reaffirm the two fundamental purposes of institutes: (1) foster interdisciplinary research in areas requiring sustained effort, and (2) incubate new research areas.

Reaffirm that institutes do not own curricula or home-base any TT faculty.

Reaffirm that institutes report to the Dean of Research (DOR), who is the steward for the health of the institutes.

Request the new DOR to complete the review of the institutes, including programs, faculty participation, and administrative support. Institutes should be reviewed every five years and will go out of existence if not renewed.

Request the DOR, assisted by the research board, to revise the operating guidelines for institutes and research centers. The guidelines would spell out minimum requirements for an existing or proposed group to be an institute or a center – for example, minimum number of tenure-track faculty affiliated and minimum sustained annual funding.

End the annual subsidy of institutes from mission funds.

Modify the overhead distribution policy to eliminate competition between schools and institutes for overhead return funds. For example, allow indirect for administrative support staff to be split transparently across multiple units within the academic structure.

Reaffirm that faculty PIs who initiate projects have the final say about associating their projects with an institute or a department (or both). (This does not apply if the leadership finds a sponsor for an area and recruits a PI.)

SECONDARY RECOMMENDATIONS

Create a strategic research fund managed by the DOR (with advice from a faculty committee) to provide seed funds for new research in areas that leadership has identified as priorities for NPS. Centers and institutes could apply in the strategic areas declared by the DOR. Funds currently used for institute subsidies could initialize this strategic fund.

Direct institutes to declare their hubs of cooperation.

Reform the reporting system so that projects and faculty can be reported under any and all affiliations overlapping with their primary interests.

Request that the DOR and research board discuss and implement incentives for faculty to initiate and participate in interdisciplinary research. Examples: (1) PIs affiliated with an institute have access to a core fund for seeds and matches. (2) Institute-affiliated PIs get an addition to the PI indirect return. (3) DOR gives priority to interdisciplinary projects (with or without an institute affiliation) when allocating Bid-and-Proposal funds. (4) Institutes offer excellent services such as conference support.