

ARTICLE III: RESEARCH AND GRANT
Section 1. Appropriate Use of Grant Funds

**Policy 1.1: Use of Grant Funds for Faculty
and other Employee Compensation**
Issued: March 1, 2001

The

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Policy 1.2: Scientific Misconduct
Issued: June 1, 2001

1. Preamble:

Chicago State University recognizes that integrity in research is an uncompromising component of academic life. Toward the end of assuring the continuance of this goal at Chicago State University, we adopt the following procedures for dealing with and reporting possible misconduct in science.

The University recognizes that cases of scientific misconduct are rare. Nevertheless, it is the intent of this policy to provide a basis for dealing with any alleged occurrence of scientific misconduct (as defined in our definitions section) at the University on a research, research-training or research-related grant, or cooperative agreement funded by the Public Health Service (PHS). It is recognized that non-scientific issues are covered by other policies and are not intended to be part of these considerations.

2. Definitions:

- a. "Misconduct" or "misconduct in science" means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.
- b. "Funded by" means the provision of monetary or other direct support through grants, cooperative agreements, or fellowships, and includes sub-grantees, contractors under grants, and individuals who work on the funded research project even though they do not receive compensation from the Federal funds.
- c. "Investigator" (called the "accused" in this document) means a principal investigator, any co-investigator, the program director or trainee on a training grant, a recipient of a career award or fellowship, or other individual who conducts or is responsible for research or research training funded by PHS or proposed for funding in an application to PHS.

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- e. An "Investigation" means an in-depth examination and evaluation of all relevant facts to determine if an instance of misconduct has taken place.

Definitions for this policy were obtained from the

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3. If, and only if, this committee finds reason to pursue the allegations, a second committee, the Investigative Committee, will be convened. The Investigative Committee will be a standing committee appointed by the Provost and shall include the Director of Sponsored Programs as a member. The Dean of the Graduate School shall serve as the Chair of this group. Additional members shall be appointed, on a staggered basis, for three (3) year terms.

b. Accusations and Confidentiality:

Upon receipt in writing of alleged misconduct, the Provost will, if necessary and after appropriate consultations, appoint an ad hoc Inquiry Committee and refer the matter to the Chair of the Inquiry Committee. The Committee will then proceed to initiate an inquiry into the charges. During this process all involved will endeavor to keep confidential the names of both the accused and accuser. Confidentiality will be breached only on a "need to know" basis.

c. The Inquiry and the Investigation:

1. The definitions above emphasize that the inquiry stage of the misconduct process is only to determine whether

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- (a) The accused shall be informed in writing of the charges against her/him prior to the initiation of the investigation.
- (b) "The investigation normally will include examination of all documentation, including, but not necessarily limited to, relevant research data and proposals, publications, correspondence, and memoranda of telephone calls."
- (c) "Whenever possible interviews should be conducted of all individuals involved either in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations: complete summaries of these interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file."
- (d) The committee shall secure the necessary and appropriate expertise to carry out a thorough and authoritative evaluation of the relevant evidence.
- (e) Precaution will be taken against conflicts of interest between the accused and members of the investigating committee.
- (f) Interim administrative action may be taken, as appropriate, to protect federal funds and insure that the purposes of the federal financial assistance are carried out.
- (g) The committee and the University will keep the Office of Scientific Integrity apprised of any developments during the course of the investigation which discloses facts that may affect current or

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**Policy 1.3: Policy on Replacement and Release
Time on Grants
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In a memo dated August 18, 1998, information on OMB Circular A-21 was distributed to the campus community. The memo stated that project personnel working on federal grants would not be allowed to receive more than one hundred percent of their university salary through grant monies. Because considerable confusion has resulted from differing interpretations. The intent of this memo is to clarify the university policy.

The above referenced regulation does not preclude the university from assigning extra duties to faculty for additional compensation beyond their base salary (i.e. overrides), as long as such assignments are “reasonable” and would not compromise the quality of the faculty member’s primary responsibilities including work on the federal grant. Consequently, the policy that I am putting in place effective immediately is as follows:

- 3 Faculty members who are working as project personnel on federal grants may receive six CUEs as overrides for additional assigned work. The provost may increase this limit up to nine CUEs in exceptional cases if adequate justification exists.
- 3 Grant monies cannot under any circumstances be used to pay for the overrides. Any charges for work performed on sponsored federal agreements must be in strict adherence to the policy as stated in OMB Circular A-21. All override compensation must be paid through appropriate funds or other non-grant related sources.
- 3 Faculty on ten-month contracts who do not plan to teach in summer can receive summer salary (two tenths of regular contracted base salary) for two months full-time summer work if funded by a federal grant.

I am once again requesting your compliance with the federal OMB guidelines in an effort to avoid jeopardizing federal funding and consequently the very survival of the University. Your cooperation in this matter is greatly appreciated.