

# Faculty Senate Minutes

Fargo, ND

North Dakota State University

December 10, 2018

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I. Call to order 3:01 pm

II. Attendance

Dr. E. Gillam presiding and the following senators were present: B. Aly Ahmed, A. Andrianova, E. Conwell, L. del Rio Mendoza, J. Dorfmeister, J. Frenzel, A. Green, S. Haring, C. Hawley, R. Hearne, D. Johnson, J. M. Jones, B. Klamm, M. Larson, K. Lepper, K. Lyman, K. Nelson, S. Nelson, D. Pemstein, R. Pieri, K. Reindl, K. Rodgers, F. Salajan, G. Sanders, M. Secor-Turner, K. Swanson, M. Vosen Callens, A. Wagner, and A. Werremeyer

Substitutions: Sam Markell for T. Desutter, Amelia Asperin for K. Park, and Jo Cavins for K. Sassi.

Absent: D. Bajwa, E. Berry, A. Daigh, A. Dybing, L. Jiang, J. Johnson, D. Katti, X. Li, Z. Liu, M. McCourt, M. Selekwa and T. Wahl.

III. Adoption of agenda

MOTION (Hawley/Wagner): to adopt the agenda. MOTION CARRIED WITH UNANIMOUS CONSENT

IV. Approval of previous meeting minutes from November 19, 2018

MOTION: (Salajan/Hearne): to approve the minutes from November 19, 2018. MOTION CARRIED WITH UNANIMOUS CONSENT.

V. Announcements

a. Dean Bresciani, President

- Governor's budget – this is the beginning of a very long process. President Bresciani remains optimistic in getting full funding for Dunbar.
- There are unsupportive reactions to the 3 higher ed boards. Presidents' Bresciani and Kennedy can't be the ones to go out explain why it is a good idea to have 3 governing boards because it would be seen as self-serving. Governor Burgum's staff needs to do be the one to explain why.

b. Ken Grafton, Provost

- No report

c. Erin Gillam, Faculty Senate President

- Ad hoc committee for bylaws review – comprised of 3 presidents and past presidents Harlene Hatterman-Valenti and Tom Stone Carlson – will start in January.
- Ad hoc General Education Review committee – will revise the gen ed outcomes and has the potential to change the outcomes categories. Will invite people from appropriate colleges/departments when working on the categories.

- d. Molly Secor-Turner, Faculty Senate President-Elect
  - No report
- e. Amanda Booher, Staff Senate President – not present
- f. Marissa Pacella, Student Body Vice-President
  - No report

VI. Consent agenda

- a. UCC Report and Addendum (**Attachment 1**)
- b. Policy 823: Financial Conflict of Interest – Public Health Service, national Science Foundation or Other Applicable Sponsored Research (**Attachment 2**)

MOTION (Salajan/Del Rio Mendoza): to approve consent agenda. MOTION CARRIED WITH UNANIMOUS CONSENT.

VII. Unfinished Business

- a. None

VIII. New Business

- a. Carol Jorgenson, Assistant Director of Residential Education
  - i. Faculty in Residence Program (**Attachment 3**)
- b. Birgit Pruess, statewide faculty representative on SBHE (**Attachment 4**)

IX. Adjourn

MOTION (Jones/Aly Ahmed): to adjourn the meeting. MOTION CARRIED WITH UNANIMOUS CONSENT.

The meeting adjourned at 3:44 p.m.

Respectfully submitted,

Kelly Hoyt  
Faculty Senate Secretary

**University Curriculum Committee Report  
For Faculty Senate Meeting on December 10, 2018**

<b>Program Changes</b>	
Biomedical Engineering minor – adding several more elective courses	
B.S.; Horticulture – replacing BOT 380 with PLSC 380 as a required course for the program	

<b>Course Changes</b>								
<i>From:</i>				<i>To:</i>				
Subject	No.	Title	Crs.	Dept	No.	Title	Crs.	Effective Term
HIST	254	The United States in the Long 1960s	3	HIST	<b>354</b>	The United States in the Long 1960s	3	Spring 2019

<b>New Special Topics – FYI only</b>			
Subject	No.	Title	Effective Term
ECON	499/696	Introduction to Computational Economics	Spring 2019

**University Curriculum Committee Addendum  
For Faculty Senate Meeting on December 10, 2018**

<b>New Programs</b>
MBA Certificate – Business Analytics
MBA Certificate – Leadership and Managerial Skills

<b>Program Changes</b>
DMA; Piano Performance – replacing a currently required course (MUSC 732) with additional credits in the applied study course (MUSC 731) and to change the recital requirements to four 3-credit recitals.
MSCM; Logistics, Materials, and Supply Chain – name change and streamlining of required courses.
MTUS; Transportation & Urban Systems – TL 789 has been added as a core course. Concentration areas have been removed.
PhD; Transportation and Logistics – two new research tracks have been added. Core course requirements have been updated.

<b>Program Termination</b>
Humanities – B.S., B.A. and minor

<b>New Courses</b>			
<b>Subject</b>	<b>No.</b>	<b>Title</b>	<b>Effective Term</b>
CED	761	Government, Politics, & Community Development	Spring 2019
HNES	708	Positive Youth Development through Sport	Summer 2019
PHRM	324	Writing and Professionalization in Pharmacy	Spring 2019

<b>Course Reactivations</b>			
<b>Subject</b>	<b>No.</b>	<b>Title</b>	<b>Effective Term</b>
COMM	111	Honors Public Speaking	Spring 2019
MATH	630	Graph Theory	Spring 2019
TL	751	Transportation Cyber-Physical Security	Fall 2019

<b>General Education Recommendations</b>	
COMM 111 – Honors Public Speaking – approval for Communication	
PHRM 324 – Writing and Professionalization in Pharmacy – approval for Communication; upper division writing	

<b>Course Changes</b>								
<b>From:</b>				<b>To:</b>				
<b>Subject</b>	<b>No.</b>	<b>Title</b>	<b>Crs.</b>	<b>Dept</b>	<b>No.</b>	<b>Title</b>	<b>Crs.</b>	<b>Effective Term</b>
AGEC	444/644	Commodity Trading	3	AGEC	444/644	Advanced Commodity Trading	3	Spring 2019
ANTH	470/670	Analysis & Interpretation in Archaeology	3	ANTH	470/670	Theory in Archaeology	3	Fall 2019
CED	709	Community Development Orientation	2	CED	709	Foundations in Community Development	3	Spring 2019
CHEM	732	Advanced Analytical Chemistry	4	CHEM	732	Advanced Survey of Analytical Chemistry	4	Spring 2019
CHEM	759	Intermediate Physical Chemistry	4	CHEM	759	Advanced Survey of Physical Chemistry	4	Spring 2019
CSCI	313	Software Development for Games	3	CSCI	313	Advanced Software Development	3	Fall 2019
MBA	711	Financial Risk Management	2	MBA	711	Advanced Investment Analysis	2	Fall 2019
MBA	712	Advanced Investment Management	2	MBA	712	Advanced Portfolio Management	2	Fall 2019
TL	751	Transportation Security	3	TL	751	Transportation Cyber-Physical Security	3	Fall 2019
TL	781	Program Evaluation	3	TL	781	Traffic Safety and Evaluation	3	Fall 2019

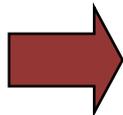
<b>Changes in Prerequisites/Co-Requisites/Course Descriptions</b>				
<b>Subject</b>	<b>No.</b>	<b>Title</b>	<b>Prerequisite/Co-requisite/Description Change</b>	<b>Effective Term</b>
ANTH	470/670	Theory in Archaeology	Desc: Theory doesn't always get the best rap. It has a reputation for being dry and distanced from the 'real world'. But theory isn't something we can do without. Any statement about what happened in the past depends on theory. Even apparently trivial activities like drawing a stratigraphic profile or cataloguing artifacts rely on theoretical concepts, though these are often taken for granted. This is because theory is how we make sense of the world. It provides a framework for understanding, a basis for asking new questions, and a guide for how data should be collected and arranged. Because theory isn't optional, it needs to be critically and carefully thought out. In this course, we'll do just that by examining in detail how theory (a) helps us to define what archaeology as a field consists of, (b) provides a vision of human culture, social relations, and long-term change, and, (c) determines appropriate methods for excavating and interpreting archaeological remains. May be repeated.	Fall 2019

<b>Changes in Prerequisites/Co-Requisites/Course Descriptions (continued)</b>				
<b>Subject</b>	<b>No.</b>	<b>Title</b>	<b>Prerequisite/Co-requisite/Description Change</b>	<b>Effective Term</b>

CSCI	313	Advanced Software Development	Desc: This course provides students with an understanding of the full-stack development of real-world software application using software frameworks. Students will work in small teams to use an agile methodology to develop a full-stack application.	Fall 2019
MBA	711	Advanced Investment Analysis	Desc: This course provides students with a fundamental understanding of investments and the theory and practice of financial valuation. Students will learn how to value a publicly listed company after identifying key internal and external investment factors. Students will deliver a detailed research recommendation on a stock investment idea. Students will use Bloomberg terminals in the Commodity Trading Lab to gain hands-on experience through valuation analysis and have the opportunity to participate in the Student Managed Investment Fund (Bison Fund). This course will also be useful for students who are planning to take the CFA (Chartered Financial Analyst) exams.	Fall 2019
MBA	712	Advanced Portfolio Management	Desc: This course provides students with a fundamental understanding of investments and the theory and practice of modern portfolio management. Students will gain in-depth knowledge of portfolio construction and performance through portfolio management and have the opportunity to participate in the Student Managed Investment Fund (Bison Fund). Students will deliver a written report and detailed presentation of their portfolio results. This course will also be useful for students who are planning to take the CFA (Chartered Financial Analyst) exams.	Fall 2019
STAT	461	Applied Regression Models	Prereq: MATH 128 or MATH 129, MATH 165, STAT 330 or STAT 368	Fall 2019
TL	751	Transportation Cyber-Physical Security	Desc: Fundamentals of multimodal transportation physical security and cybersecurity, governance, standards, and best practices.	Fall 2019
TL	781	Traffic Safety and Evaluation	Desc: This course introduces the traffic safety along with applications in program and policy evaluation. Students will learn concepts, strategies and practices in the field of traffic safety. In addition, students learn how to use evaluation in program planning and policy decisions. Exercises include scoping, defining, evaluating, and communicating findings.	Fall 2019

# Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in **red**, including the header, must be completed; if not, it will be sent back to you for completion.



*If the changes you are requesting include housekeeping, please submit those changes to [ndsu.policy.manual@ndsu.edu](mailto:ndsu.policy.manual@ndsu.edu) first so that a clean policy can be presented to the committees.*

## SECTION: Policy Number and Name 823 Financial Conflict of Interest

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).

- Is this a federal or state mandate?  Yes  No
- Describe change: Addition of educational activities in addition to research for disclosures by PI/Co-PIs

2. This policy change was originated by (individual, office or committee/organization):

- Office/Department/Name and the date submitted RCA/Research Integrity/Julie Sherwood 9.6.2018
- Email address of the person who should be contacted with revisions [j.sherwood@ndsu.edu](mailto:j.sherwood@ndsu.edu)

*This portion will be completed by SCC Secretary (Kelly Hoyt).*

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):

Legal Review: 10/2/18

Responsible Office: 10/2/18

Senate Coordinating Committee: 10/29/18

Faculty Senate:

Staff Senate: 11/7/18

Student Government: 11/4/18

Provost:

President:

The formatting of this policy will be updated on the website once the **content** has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to [ndsu.policy.manual@ndsu.edu](mailto:ndsu.policy.manual@ndsu.edu). All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

# Dakota State University

## Policy Manual

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### SECTION 823

#### FINANCIAL CONFLICT OF INTEREST – PUBLIC HEALTH SERVICE, NATIONAL SCIENCE FOUNDATION OR OTHER APPLICABLE SPONSORED RESEARCH

SOURCE: SBHE Policy Manual, Section 611.4  
NDSU President

#### 1. INTRODUCTION

- 1.1. The US Public Health Service (PHS), National Science Foundation (NSF) and other applicable sponsors require institutions to establish standards that promote the objectivity of research by ensuring that the design, conduct, and reporting of such research is free from any potential for bias resulting from Investigator financial conflicts of interest. Investigators should conduct their affairs as to avoid or minimize conflicts of interest, and must respond appropriately when conflicts of interest arise.
- 1.2. This policy governing financial conflict of interest applies to all Investigators funded by, or submitting proposals for funding to any agency of the PHS, except for Small Business Innovation Research (SBIR) Program Phase I applications. This exclusion does not apply to investigators submitting proposals to NSF. Investigators are required to disclose any external financial interests related to their NDSU responsibilities for review, and any required management, to ensure the design, conduct or reporting of the PHS research is not biased by a financial conflict of interest. Investigators of sponsored projects funded by any other external agency are referred to [NDSU Policy 151.1, External Activities and Conflicts of Interest](#) to address conflicts of interest, including financial.

#### 2. DEFINITIONS

- 2.1. **Administrative Head:** a Department Chair or Head, Dean, Director, Vice President, President or equivalent officer who has the primary authority for administering an administrative unit, and is responsible for solicitation and review of disclosures of Investigator's Significant Financial Interests (SFI) related to their institutional responsibilities, including interests of an Investigator's family members. When a conflict exists for an Administrative Head, refer the matter to the next level of administrative authority in the normal reporting lines. (See also in [Policy 151.1](#).)
- 2.2. **Conflict of Interest Advisory Committee (CIAC):** a committee comprised of five members recommended by the Faculty Senate Executive Committee and appointed by the President of the Faculty Senate. The CIAC shall serve as an advisory body to the University administration on conflict of interest issues, and shall also hear appeals of decisions in conflict of interest cases. (See also in [Policy 151.1](#).)
- 2.3. **Family:** any member of the Investigator's immediate family, including spouse, domestic partner, parents, siblings, and children.
- 2.4. **Financial Conflict of Interest (FCOI):** a Significant Financial Interest (SFI) that the University reasonably determines could directly and significantly affect the design, conduct or reporting of NDSU research.

- 2.5. **Investigator's Institutional Responsibilities:** the Investigator's responsibilities associated with his or her institutional appointment or position, such as research, teaching, clinical activities, professional practice, institutional committee memberships and service on panels, such as an Institutional Review Board.
- 2.6. **Investigator:** the project director/~~or~~ principal investigator, co-PD/co-PI and any other person, regardless of title or position, who is responsible for the design, conduct or reporting of rResearch (PHS) or research or educational activities(NSF) funded by the PHS, NSF or other sponsors, or proposed for such funding, which may include collaborators or consultants.
- 2.7. **Management:** taking action to address a Financial Conflict of Interest (FCOI), which includes a documented plan to reduce or eliminate the FCOI to ensure, to the extent possible, that the design, conduct or reporting of the project will be free from bias.
- 2.8. **Public Health Service (PHS):** the Public Health Service of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority of the PHS may be delegated. The components of the PHS include, but are not limited to, the Administration for Children and Families, Administration on Aging, Agency for Healthcare Research and Quality, Agency for Toxic Substances and Disease Registry, Centers for Disease Control and Prevention, Federal Occupational Health, Food and Drug Administration, Health Resources and Services Administration, Indian Health Service, National Institutes of Health, and Substance Abuse and Mental Health Services Administration.
- 2.9. **Research:** a systematic investigation, study, or experiment designed to contribute to generalizable knowledge relating broadly to public health, including behavioral and social-sciences research. The term encompasses basic and applied research (e.g., a published article, book, or book chapter) and product development (e.g., a diagnostic test or drug).
- 2.10. **Retrospective Review:** a review of a financial interest that was either not disclosed, or not reviewed and managed by the University in a timely manner. The review is conducted to determine whether any PHS research conducted prior to the identification and management of the FCOI was biased in the design, conduct, or reporting.
- 2.11. **Significant Financial Interest (SFI):** anything of monetary value received or held by an Investigator or a Family member, whether or not the value is readily ascertainable, that reasonably appears to be related to the Investigator's Institutional Responsibilities. (Note: this exceeds the definition of SFI in [Policy 151.1](#)). SFI includes:
- 2.11.1. Salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works) when the aggregated value received from a *publicly traded* entity during the 12 month period preceding the disclosure, and the value of any equity interest during the 12 month period preceding or as of the date of disclosure, exceeds \$5,000; or
- 2.11.2. Salary or other payments for services, when the aggregated value received from a *non-publicly traded* entity during the 12 month period preceding the disclosure exceeds \$5,000; or
- 2.11.3. Equity interests (e.g., stocks, stock options, or other ownership interests) in a non-publicly-traded company of any value during the 12 month period preceding or as of the date of disclosure; or

- 2.11.4. Income related to intellectual property rights and interests (e.g., patents, trademarks, service marks, and copyrights) not reimbursed through NDSU; and
- 2.11.5. Reimbursed or sponsored travel that is related to Investigator's Institutional Responsibilities. This includes travel that is paid on behalf of the Investigator rather than reimbursed, even if the exact monetary value is not readily available. It excludes travel reimbursed or sponsored by U.S. Federal, state, or local governmental agencies, U.S. institutions of higher education, research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers.

SFI does NOT include:

- 2.11.6. Salary, royalties, or other remuneration from NDSU;
- 2.11.7. Income from the authorship of academic or scholarly works;
- 2.11.8. Income from seminars, lectures, or teaching engagements sponsored by or from advisory committees or review panels for U.S. Federal, state or local governmental agencies; U.S. institutions of higher education; U.S. research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers; or
- 2.11.9. Equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions made in these vehicles.

### 3. DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS

- 3.1. Investigators must disclose all SFI related to their Institutional Responsibilities (or certify no SFI) by completing the [SFI Disclosure Form](#) and submit it to their Administrative Head and Dean for initial review.
  - 3.1.1. PHS, NSF or other sponsors proposal submission. Investigators must have a current (within the last 12 months) *SFI Disclosure Form* on file with the University prior to submitting a Research proposal to PHS, NSF or other sponsors as a principal or subrecipient Investigator. A copy of the *SFI Disclosure Form* is routed with the Proposal Transmittal Form to Sponsored Programs Administration (SPA). (The disclosure does not require review by the Administrative Head and Dean until funding has been awarded, unless otherwise required under Policy 151.1.)
  - 3.1.2. Annual disclosure. Investigators participating in PHS, NSF or other sponsorfunded Research are required to submit to their Administrative Head and Dean an updated disclosure at least annually by submission of the *SFI Disclosure Form*. New investigators must disclose within 30 days of their initial appointment or employment. The disclosure must be reviewed, managed, and reported to PHS, NSF or other sponsor when necessary, within 60 days of employment.
  - 3.1.3. New SFI. Investigators participating in, or applying for PHS, NSF or other sponsorfunded Research are required to submit an updated disclosure within 30 days of discovery or acquisition (e.g., through purchase, marriage, or inheritance) of a new SFI. The disclosure must be reviewed, managed, and reported to PHS, NSF or other sponsor when necessary, within 60 days of identification.

3.1.4. Travel. Investigators participating in, or applying for PHS, NSF or other sponsor-funded Research are also required to disclose any reimbursed or sponsored travel related to their Institutional Responsibilities as defined under 2.11.5 above. Such disclosures must include, at a minimum: the purpose of the trip, identity of the sponsor/organizer, destination, duration, and monetary value, if known. The Administrative Head determines if additional information is needed (e.g., the monetary value if not already disclosed) to determine whether the travel constitutes a FCOI with the Investigator's Research.

#### 4. REVIEW OF SFI DISCLOSURE

- 4.1. Prior to expenditure of funds, the review and management of any FCOI must be complete, and a copy of the documentation forwarded to SPA. SPA will report any identified FCOI to the PHS, NSF or other applicable agency. If the proposal does not result in an award, FCOI disclosures will be returned to the Administrative Head and Dean for further action if required under Policy 151.1.
- 4.2. If the Investigator has certified that he/she has no SFI to disclose, the Administrative Head and Dean, if they are in agreement with the Investigator's disclosure, sign the *SFI Disclosure Form*, acknowledging receipt and agreement, and sending a copy to SPA.
- 4.3. When the Investigator has disclosed SFI, the Administrative Head and Dean must review the *SFI Disclosure Form(s)* before the expenditure of funds. This review is to determine whether:
  - 4.3.1. The SFI reasonably appears to be related to the funded Research (e.g., if the SFI could be affected by the Research, or is in an entity whose financial interests could be affected by the Research); and
  - 4.3.2. The interest constitutes a FCOI (e.g., a SFI that may directly and significantly affect the design, conduct, or reporting of PHS, NSF or other sponsor-supported Research).
- 4.4. If the SFI is either found to not be related to the funded Research, or does not involve a potential FCOI, the Administrative Head and Dean sign the *SFI Disclosure Form*, forwarding a copy to SPA; no further action is needed.
- 4.5. If the SFI is determined to constitute an actual or apparent FCOI, the Administrative Head and Dean sign the determination, forwarding the *SFI Disclosure Form* to the respective VP, Provost, or the CIAC for additional review and Management, as set forth in Section 5.
  - 4.5.1. Should the VP, Provost, or CIAC review result in a determination that no actual or apparent FCOI exists, the final determination is documented on the *SFI Disclosure Form*, a copy is forwarded to SPA, and no further action is required.
  - 4.5.2. In the event the Dean, VP, Provost, or CIAC determines that the FCOI cannot be satisfactorily managed, NDSU will refuse the award. The final determination is documented on the *SFI Disclosure Form*, a copy is forwarded to SPA, and no further action is required.

#### 5. MANAGEMENT OF FINANCIAL CONFLICTS OF INTEREST

- 5.1. Prior to expenditure of funds, the VP, Provost, or CIAC are responsible for development of a Management plan including conditions or restrictions to eliminate, reduce, or manage the FCOI. The Investigator, Administrative Head, and Dean may also be involved in drafting the plan, including conditions such as:

- 5.1.1. Public disclosure of the conflict when publishing or presenting Research;
  - 5.1.2. For human Research projects, disclosure of the conflict directly to participants;
  - 5.1.3. Appointment of an independent monitor capable of taking measures to protect the design, conduct and reporting of the Research against bias resulting from the conflict;
  - 5.1.4. Modification of the Research plan;
  - 5.1.5. Change of personnel or their responsibilities, or disqualification from participating in all or a portion of the Research;
  - 5.1.6. Reduce or eliminate the SFI; or
  - 5.1.7. Sever relationships that pose a FCOI.
- 5.2. Upon review and consideration, the Management plan is documented in writing, including:
- 5.2.1. Role and principal duties of the conflicted Investigator;
  - 5.2.2. Conditions of the Management plan;
  - 5.2.3. How the plan is designed to safeguard objectivity in the Research;
  - 5.2.4. Confirmation of the Investigator's agreement to the Management plan;
  - 5.2.5. How the plan will be monitored to ensure Investigator compliance; and
  - 5.2.6. Any other information relevant to the management of FCOI.
- 5.3. The Dean and the VP or Provost signs the Management plan, and appoints an individual to monitor the project until completion of the funded Research. SPA receives a copy of the approved Management plan, and reports all instances of FCOI to PHS, NSF or other sponsor, or the primary awardee institution, including applicable Management plans.
- 5.4. Where the Research involves human subjects, the Investigator provides a copy of the approved Management plan to the IRB for review with the IRB protocol. The IRB may impose additional, specific conditions or restrictions, where necessary, to ensure protection of the rights and welfare of research participants, but may not alter the Management plan finalized by the VP or Provost.

## **6. TRAINING**

- 6.1. Investigator training on FCOI, this policy, and their responsibilities regarding disclosure of SFI is:
  - 6.1.1. Recommended prior to submitting a Research proposal to the PHS, NSF or other sponsors;
  - 6.1.2. Required prior to expenditure of PHS , NSF or other sponsored funds;
  - 6.1.3. Required every 4 years during the period of award;

- 6.1.4. Required immediately when the FCOI policy is revised, an Investigator is new to a PHS, NSF or other sponsor project, or an Investigator is not in compliance with the policy or Management plan.
- 6.2. Online training modules shall be completed via [www.citiprogram.org](http://www.citiprogram.org). The principal Investigator of each PHS, NSF or other sponsor funded project ensures that all applicable individuals involved in the design, conduct or reporting of their Research complete training.

## 7. SUBRECIPIENT REQUIREMENTS

- 7.1. PHS, NSF and other sponsors requires the awardee institution take reasonable steps to ensure that any subrecipient complies with FCOI requirements.
  - 7.1.1. Subrecipient awards must specify whether the FCOI policy of NDSU, or that of the subrecipient will apply to the subrecipient's Investigators.
  - 7.1.2. When the subrecipient's Investigators must comply with the subrecipient's FCOI policy, the subrecipient award will certify that the subrecipient's policy complies with PHS, NSF or other sponsors regulations, and specify the time period to report all identified FCOI to NDSU, in sufficient time to allow NDSU to report any FCOI to PHS, NSF or other sponsors prior to expenditure of funds by subrecipient.
  - 7.1.3. When the subrecipient's Investigators must comply with NDSU FCOI policy, the subrecipient award will specify the time period to report all SFI disclosures to NDSU, in sufficient time for review, management and reporting of any FCOI to PHS, NSF or other sponsors prior to expenditure of funds by subrecipient. In such a case, the subrecipient disclosure and review will follow the same process required by NDSU Investigators in Section 3 and 4.

## 8. APPEALS

- 8.1. If Research is determined to be subject to restrictions or conditions due to FCOI, the Investigator may appeal the decision to the Faculty Senate President, as described in [Policy 151.1](#). The CIAC serves to hear appeals of decisions in conflict of interest issues, and shall meet with the appellant Investigator within 15 working days of receipt of the appeal. If a member of the CIAC has any personal or working relationship with the appellant Investigator, that member should recuse him or herself and be replaced by another member appointed by the President of the Faculty Senate. More than one meeting may be scheduled to decide the case, if necessary.
- 8.2. The appellant Investigator has the right to call any witnesses and produce any evidence that could bear on a recommendation to allow the activity, as well as to have an advisor accompany him/her to any CIAC deliberations. The CIAC, however, will come to its conclusions and write its final recommendations in private. The recommendation to either uphold or change the original decision shall be sent to the appropriate Dean, VP, or Provost. If the CIAC finds that the original decision should be upheld, then a final appeal may be made to the President of the University. If the recommendation is to change the original decision, the Dean, VP, or Provost shall take appropriate action as he or she deems fit. All records of the proceedings shall be maintained on file in the office of the appropriate Dean, VP, or Provost for three (3) years. A copy of the final recommendations shall be provided to the appellant Investigator.

## 9. COMPLIANCE AND SANCTIONS

- 9.1. In the event an Investigator fails to disclose SFI, or the Institution fails to review the disclosure in a timely fashion, PHS, NSF and other sponsors requires the Institution to conduct a review within 60 days of knowledge of the failure. If the SFI is found to involve FCOI, an interim Management plan is required, as well as a report to the sponsor by SPA.
- 9.2. In the event a FCOI is not identified or managed in a timely fashion, or the Investigator fails to comply with terms of a Management plan, PHS, NSF and other sponsors requires that the Institution conduct a Retrospective Review. Within 120 days of identification of the noncompliance, the Dean, VP, Provost, or CIAC performs the review to determine whether the Research conducted during the period of noncompliance was biased in its design, conduct or reporting. The process and findings of the review are documented, and reported promptly to the sponsor by SPA.
- 9.3. If bias is found, the Institution is required to notify PHS, NSF or other sponsors promptly, and submit a mitigation report. The report is prepared with the assistance of the Investigator, Administrative Head, and Dean, and shall include a description of the impact of the bias on the Research project and the plan of action to eliminate or mitigate the effect of the bias.
- 9.4. Violations of this policy shall be subject to disciplinary procedures, including sanctions up to and including suspension and termination of employment at NDSU. In addition, any NDSU employee who has received financial benefit from transactions in violation of this policy shall be liable for repayment (to the appropriate entity) of all financial benefits resulting from such violation. Compliance with this policy may also be enforced through the exercise of administrative oversight of funded Research and management of NDSU facilities and other property. Such enforcement measures may include, but are not limited to:
  - 9.4.1. Freezing Research funds or accounts;
  - 9.4.2. Rescinding contracts entered in violation of this policy or state law; or
  - 9.4.3. Bringing legal action for restitution to the appropriate entity or entities of the amount of financial benefit received by the NDSU employee as a result of the employee's violation of this policy.

## 10. REPORTING

- 10.1. Prior to expenditure of funds, SPA shall report all findings of FCOI to PHS, NSF or other applicable sponsor. The report shall include sufficient information to allow the agency to understand the nature of the conflict and appropriateness of the Management plan. It shall include:
  - 10.1.1. Project number; project director or principal Investigator;
  - 10.1.2. Name of Investigator with the conflict, and the entity involved;
  - 10.1.3. Nature of the financial interest (e.g., equity, consulting fee, travel reimbursement, honorarium, etc.);
  - 10.1.4. Value of the financial interest (dollar ranges are acceptable), or a statement that value is not readily determined;
  - 10.1.5. Description of how the SFI relates to the funded Research and the basis for determining that the SFI conflicts with the Research;

10.1.6. Description of the key elements of the Management plan, as described above.

10.2. On an annual basis, SPA reports to PHS, NSF or other sponsor the status of any previously identified FCOI, and any changes to the Management plan.

10.3. SPA submits Retrospective Review and mitigation reports promptly to PHS , NSF or other sponsors as necessary.

## 11. RECORDS AND CONFIDENTIALITY

11.1. Records of all disclosures of SFI and of all actions taken to review and manage conflicts will be maintained by the respective Department or College until at least three (3) years after the later of the termination or completion of the award to which they relate, or the resolution of any governmental action involving these records.

11.2. The disclosure and supporting documents filed in compliance with this policy will be maintained as confidential to the extent possible under applicable state and federal requirements and the North Dakota Open Records Act. Whenever requests for such information are requested by any external entity, the individual will be notified.

## 12. PUBLIC ACCESSIBILITY

12.1. PHS, NSF and other sponsors requires NDSU to ensure public accessibility of SFI information related to PHS, NSF and other sponsored Research, including an obligation to respond to any requestor within five business days, with information concerning any SFI that meets all the following criteria:

12.1.1. The SFI was disclosed and is still held by the senior/key personnel;

12.1.2. A determination has been made that the SFI is related to the funded Research; and

12.1.3. A determination has been made that the SFI constitutes an FCOI.

12.2. The information to be made available shall include the Investigator name, title and role in Research, name of entity involved with the FCOI, nature of the interest, approximate dollar amount of interest, or statement that the value is not readily determined.

12.3. The information must be made available for a period of three (3) years from the date that it was most recently updated.

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### HISTORY:

New	June 1995
Amended	October 1997
Amended	August 2007
Revised	August 23, 2012
Amended	May 3, 2017

# NDSU Residence Life Faculty In Residence Program

- Faculty-in-Residence Program at NDSU
- Benefits for faculty in the role
- Requirements of the role
- How to get more information
- Application timeline

## Faculty in Residence Program Overview

- Faculty In Residence Program started in 2008
  - 2008-2010 Drs. Andrew and Miriam Mara, Associate Professors
  - 2010-2012 Dr. Amy Ganguli, Assistant Professor
  - 2012-2015 Dr. Warren Christensen, Associate Professor
  - 2015-2018 Dr. Justin Wageman, Associate Professor
  - 2018 Dr. Gina Aalgaard Kelly, Associate Professor
- Two locations open for Fall 2019
  - Mathew Living Learning Center - apartment style living spaces for students 20 years of age and older
  - Cater Hall - suite style student living spaces for sophomore and transfer students.

Faculty In Residence Program enables the exchange of ideas, intellectual development, personal connections and shared experiences.

- Provides a collaboration between Academic Affairs and Residence Life
- Connects faculty with students outside the classroom setting
- Enhances students' perception of faculty being approachable



## Benefits for Faculty

- Gain insight into the student experience
- Connect with students across disciplines
- Participate in a unique way to serve students and NDSU
- Private 2 bedroom apartment in the residence hall
- Dining meals
- Convenient location



1 - Fac Yak with Dr. Justin Wageman

## Responsibilities of the FIR

- Form connections with students living in the hall
- Serve as a role model and mentor
- Implement a monthly activity
- Attend student leadership or staff meetings
- Engage in student activities/events throughout the semester
- Provide 10 student contact hours each month
- Meet with Residence Life staff
- Participate in training prior to fall semester and as needed



*2 - Behind the Professor's Desk with Dr. Warren Christensen, 2015*

## Four ways to get more info:

### 1. Check out our website:

- [https://www.ndsu.edu/reslife/faculty\\_in\\_residence/](https://www.ndsu.edu/reslife/faculty_in_residence/)

### 2. Contact Carol Jergenson, Assistant Director for Residential Education

- 701-231-5603
- carol.jergenson@ndsu.edu

### 3. Reach out to past Faculty In Residence:

- Dr. Justin Wageman, Associate Professor, School of Education
- Dr. Warren Christensen, Associate Professor, Physics
- Dr. Amy Ganguli, Assistant Professor, Range Science
- Drs. Andrew and Miriam Mara, Associate Professors, English

#### 4. Attend the Open House in the Mathew Living Learning Center East Lobby

- Early February 2019



*3 - Behind the Professor's Desk with Dr. Warren Christensen, Open House, 2015*

### To Apply

Applications are currently being accepted. Applicants need to provide the following items:

- Cover letter addressing specific questions
- Current Vitae
- Departmental support letter from chair
- Letter of Reference from a peer/colleague
- Letter of Reference from a student

Application Deadline: March 18, 2018

Qualified candidates will participate in an interview process.

Details for the application process can be found online at

[https://www.ndsu.edu/reslife/faculty\\_in\\_residence/](https://www.ndsu.edu/reslife/faculty_in_residence/)

### Faculty-Student Involvement/Faculty In Residence Research

Astin, A. W. (1977). *Four critical years*. San Francisco: Jossey-Bass.

Astin, A. W. (1993) *What matters in college? Four critical years revisited*. San Francisco: Jossey-Bass.

Cox, B. E., & Orehovec E. (2007). Faculty-Student interaction outside the classroom: A typology from a residential college, *The Review of Higher Education*, 30(4) 343-362.

Healea, C.D., Scott, J.H., & Dhillia, S. (2015). The work of faculty-in-residence: An introduction and literature review, Boston University IOS Press +

Kuh, G. D., & Hu, S. (2001). The effects of student-faculty interactions in the 1990s. *Review of Higher Education*, 24(3), 309-332.

Kuh, G. D., Douglas, K. B., Lund, J. P., & Ramin-Ogyurnek, J. (1994). Student learning outside the classroom: Transcending artificial boundaries. Washington, DC: ASHE-ERIC Higher Education Report No. 8.

Mara, M., & Mara, A. (2011). Finding an Analytic Frame for Faculty-Student Interaction within Faculty-in-Residence Programs, *Innovative Higher Education*, 36, 71-82.

Neil Browne, M., Headworth, S., & Saum, K. (2009). Rare, but Promising, Involvement of Faculty in Residence Hall Programming, *Economics Faculty Publications Bowling Green State University Scholar Works @BGSU*.

Pascarella, E. T., & Terenzini, P. T., (1991) *How college affects students*. San Francisco: Jossey-Bass.

Pascarella, E. T., & Terenzini, P. T., (2005). *How college affects students: Volume 2: A third decade of research*. San Francisco: Jossey-Bass.

Sriram, R., & McLevain, M. (2016). Developing an Instrument to Examine Student-Faculty Interaction in Faculty-in-Residence Programs, *Journal of College Student Development*, 57(5), 604-609.

**NDSU** RESIDENCE  
LIFE

**Summary from meetings with faculty at all 11 State of North Dakota institutions**  
**Birgit M. Pruess, Faculty Advisor, State Board of Higher Education**  
Prepared for CCF

As the faculty advisor on the SBHE, I toured the state and had meetings with the faculty from all our institutions. Of these, seven were held face to face, the remaining four were IVN meetings. Faculty were given a 5 min presentation on how the SBHE functions, with a special emphasis on interactions with the NDUS and the Council of College Faculty. I then allowed faculty to ask any kind of questions they might have and express their concern about Higher Education in the State. The following is a summary that was prepared from 11 campus visits for the specific purpose of being presented to the Task Force.

There is large overall agreement that the faculty of the State of North Dakota love our students and are highly dedicated to student learning and student success. In fact, faculty from two institutions commented that they would appreciate the focus of higher education to go back to student learning, because they don't feel that they hear the term 'student learning' often enough. Of course, excellence in learning requires excellence in teaching and that gets us to the current situation of the faculty. In order to recruit and retain excellent faculty, salaries need to be competitive, the institutions will have to offer a solid benefits package, and the tenure policy needs to provide protection to the faculty. Being a faculty at NDSU myself, I was not aware that faculty at the nine colleges received salaries that are below those of K-12 teachers. While the reasons for this inequity may be the constitution, this situation is nevertheless not bearable. If we try to hire faculty at starting salaries in the lower 40k range, followed by a lack of raises for the consecutive years, we realistically are not competitive. At the nine colleges, faculty pointed out that the sole reason why they were still here was their deep love for the students. However, I was also asked by one faculty whether there was still a point in staying at her current institution.

At the two research universities, we have seen many faculty leave over the past 1.5 years and part of the reason for this development may be the faculty salaries (among other reasons, such as a diminished ability to do research). Note that research faculty with large research grants are the first to go because other institutions want them as well. These faculty also tend to have the larger numbers of graduate students. Losing faculty reduces the ability of NDSU and UND to do research, as well as teach at the graduate level.

Tightly connected with faculty salaries are faculty benefits, in particular health insurance. Obviously, this does not fall under the responsibility of the SBHE, I will prepare a separate letter to ND PERS. The problem is that the proposed 4% raise in faculty salaries may be eradicated by higher expenses for personal and family health before we even know whether we will get the raise. This is something that needs to be addressed. The tenure policy is something I will personally have an eye on at SBHE.

Increased work load is a topic that was brought up at almost all the institutions. For the colleges, this means an increased teaching load, up to 15 or 18 credits. Besides the obvious increase in work time, faculty also expressed frustration about their own now diminished ability to provide the best learning experience for the students. This lowers faculty morale. At the research universities, the situation is only slightly different. Faculty are encouraged to write more research

grants. However, the teaching load is also higher for many but not all faculty. Adding to that a decrease in administrative support due to the budget cut, our ability to write research grants has decreased, rather than increased.

Distance education came up at a few institutions, but was never a hot topic. Many of our faculty do teach their courses via distance ed, up to about 60% of their total course load. Some faculty expressed concern because distance ed is not the best solution for all students. Others mentioned that distance ed may not be the favored way to teach for some faculty either, primarily because they thrive on the personal contact with the students.

Intriguingly, the Task Force was mentioned many times. Compiling the various comments, there appears to be a split between the four/two year colleges and the two research universities. There is a general concern that splitting up the boards may make institutions more competitive and might put some institutions at risk (note that the latter was expressed at NDSU). I got the sense that the colleges would prefer to either keep the SBHE or have one single board for all nine institutions, as opposed to splitting into separate boards for two and four year institutions. At the research universities, there was more of an interest in having different boards for each of NDSU and UND. This was primarily because of the larger amount of flexibility and autonomy this would grant each institution. However, the question was raised at UND whether this could be done within the SBHE and whether the discussion of the Task Force outcome during the legislative session may distract from issues that faculty perceive as more important (*e.g.* salaries, health insurance, ability to do research). At MisU, faculty suggested that one might further develop the sub-committee structure under the SBHE that was recently proposed by the Chancellor.

### **Specific concerns raised by NDSU faculty**

- 1) The first concern that was brought up was the balance between being a system and autonomy of individual institutions. In particular, the desire was voiced for a clearer distinction between Research Universities and Colleges by the SBHE. The point was made that SBHE board members may need to be educated better by our faculty themselves on what is important on our campuses. Regarding Research University, it was brought up that graduate students are important and that health insurance is still an issue.
- 2) A request was made for more transparency in the presidential evaluations. One faculty would prefer a 360 review.
- 3) Communication between faculty and legislators was discussed. The current understanding is that faculty can talk to legislators, but only as private citizens and not as faculty. It was requested to find out where that is written? In Minnesota, faculty seem to have the permission to represent faculty interest to the legislators.

## Political Activity Instruction Sheet for System and Institution Employees

With the approaching session, you may have opportunities to engage with the legislature. Please consult the following guide to avoid violating SBHE policy regarding political advocacy and related activities.

1. You must use your personal time to engage in political advocacy or related activities.
2. While you can identify yourself as a faculty member or employee of the system or your institution, you must then clarify that you are acting in your personal capacity, and not on behalf of the NDUS or your institution.
3. You should not wear identification or uniforms issued by your institution while participating in political advocacy or related activities, but may wear articles of casual clothing bearing the logo, name, or insignia of your institution.
4. You must use your personal email accounts, phone, or other electronic devices. Likewise, you must use your personal or home address on any forms or correspondence, rather than your office address. You cannot use system or institution resources for political advocacy or related activities.
5. You may not represent that you have the authority to take a position on behalf of your institution or the system, nor may you take a position on any political issue or legislation in your official capacity, as opposed to your capacity as a citizen or constituent.
6. You may not ask, encourage, or coerce any colleague, co-worker, or student to engage in political advocacy or related activities while you are acting in your capacity as a system or institution employee, such as in class, while on-duty, or during official or institution-sponsored activities.

Please also review your institution's policy on political activities to ensure that you act in compliance with the provisions of that policy.

If you have any questions, please contact your institution's administration or Eric D. Olson, SBHE counsel, at 701-328-3611 or [edolson@nd.gov](mailto:edolson@nd.gov).