University Research Council
October 16, 2012
(Approved November 20, 2012)

PRESENT: Pollyanne Frantz, Joseph Cazier, Denise Martz, David Dickinson, Les Bolt, Ray Miller, Christine Leist, Karla Rusch, John Pine, Lisa Suggs, Alan Utter, Randy Gonzalez, Susan Staub, Jeff Ramsdell, Betsy Williams, Cynthia Liutkus, Scott Collier, Bill Bauldry, Susan McCracken, Julie Taubman, Denise Levy, Anne Fanatico, Patricia Cornette (for Charna Howson)

EXCUSED: Edelma Huntley, Tracy Goodson-Espy, Ged Moody, Holly Hirst

ABSENT: Amy Roberts, Kim Hall, Eva Gonzales

• Pollyanne Frantz calls the meeting to order at 4:00
  o Member introductions

MINUTES: It is moved and seconded that the minutes from the September 18, 2012 meeting be approved. Motion unanimously passes

NEW BUSINESS

Impact of Possible Sequestration of Federal Budget – Susan McCracken

• The UNC system would lose $80 million in federal funds if sequestration comes to fruition
  o This is the total amount of possible lost funding to the entire system for discretionary programs--around 8.4% across the board
  o The major impact on us would be NSF, NASA, USADA, Department of Education, and Dept. of Ed Title IV programs
  o An across-the-board decrease as a result of sequestration would come to approximately a $557,000 decrease in federal funding to ASU
  o Doubt it will actually happen, but Susan will keep the campus updated as additional information becomes available

Federal Agenda and Priorities – Susan McCracken

• In early 2013, Board of Governors will vote on the UNC Federal Policy Agenda and Appropriations Guide
  o Deadline for campus feedback is October 26

• Funding and policy priorities specific to ASU
  o Difficult to recover full F&A and some projects require cost sharing
  o Need infrastructure and resources to implement policy
  o Lobby to reduce federal regulations (ex: RCR requirements) that add another layer of work for researchers, Research Protections and Special Funds Accounting

• Federal Appropriations Guide
  o Seeking feedback by October 26 as the current document is outdated
  o Include funding for student research
  o Would be helpful to align our projects with strategic plan
  o How can we account for successful collaboration with partner and State agencies?

• Susan announces that Appalachian Regional Commission representatives will be on campus on Friday, October 19 to meet with Dean Whitt about Health Sciences
Responsible Conduct of Research Plan (RCR) – Julie Taubman

- URC annually reviews the RCR plan and recommends amendment to Dean Huntley
- Julie recommends:
  - Extend the training requirements to NIH training, career development award, research education grant, and dissertation research grant
  - Include additional RCR instructional areas identified by NIH
- Discussion
  - Burden on PIs to keep track of students’ training
  - Research Protections has limited time and resources to provide additional training
  - Edit last sentence under the Scope of Plan section (#1), to specify volunteer wording
    - Significant time and effort on an NSF or applicable NIH funded project
  - Revise wording used to outline student training requirements to be more active

OLD BUSINESS

- Members are reminded to send Jessica their definition of research
- Discussion of essential research questions will be ongoing

ANNOUNCEMENTS

- Research Protections
  - 10% increase in IRBs from this time last year
  - Julie and Tony Carey have been working on a policy for external researchers recruiting on ASU’s campus
    - ASU’s general roll is to make sure the project has an IRB approval
    - Julie will distribute policy electronically to gather feedback from the URC
- Sponsored Programs
  - Research.gov will soon replace Fastlane
    - Contact OSP for details about submitting NSF reports
- Grants Resources & Services
  - Research Services Fair scheduled for Friday, October 19 from 1:00–3:00
- Other Announcements
  - Fall 2012 proposals will be available for review on AsULearn within a week
  - Vice Chancellor for Research search is underway
    - Bill and Charna are on the search committee

ADJOURNMENT
The Board of Governors

of

The University of North Carolina

The following statement shall accompany the 113th Congress Federal Policy Agenda and the Appropriations Guide as guidance for The President and his staff and for communication with the North Carolina Congressional Delegation:

The Board of Governors of the University of North Carolina (“The Board”) believes that federal investments in student financial aid and research programs and infrastructure are fundamental to our national security, economic recovery and prosperity.

Given growing public concern for federal budget deficits and the need to prioritize the use of scarce public resources, the Board supports federal efforts to achieve budget savings in entitlement and discretionary spending and through tax reform to ensure the long-term viability of federal programs that invest in America’s future.

In general, The Board believes:

- The University is a producer and not a consumer. The University produces students, medical treatments and cures, ideas, technologies, and leaders for government, industry, education, and more.
- The University is a partner with the federal government in promoting and enhancing American competitiveness and capturing and accelerating innovation.
- The Federal government must continue to make strategic investments for future economic growth even as it seeks to control spending.
- The University supports accountability for performance in exchange for public funding.
- Academic autonomy and the freedom to pursue ideas free from political or government influence are core University principles.
- Federal rules and regulations should be reasonable and necessary. Increased federal reporting and other requirements should not impose disproportionate financial hardship and compliance for the University.
Specifically, the Board’s highest federal priorities (in priority order) are:

1. a. Preserve the current maximum Pell Grant award for qualified students.

and

b. Preserve current funding levels for National Institutes of Health (NIH), National Science Foundation (NSF), Department of Defense (DOD), Department of Agriculture (AG), Department of Education (ED), and Department of Energy (DOE) research grants and contracts with Universities.

2. Preserve Title III and set-aside funding for Historically Black Colleges and Universities (HBCUs).

3. Relief from Federal rules and regulations whose benefits do not justify imposed costs, with particular emphasis on Federal requirements of the University as an employer.

4. Provide a favorable tax environment for students and families that do not qualify for need-based financial aid.

5. Enforce existing Facilities and Administrative (F&A) cost-reimbursement rules for federally funded grant awards and ensure consistent application by all federal agencies across all universities.

6. Include federal employee tuition assistance and Veteran educational benefits in the Department of Education’s calculation of the 90/10 rule for institutions of higher education.

7. Permanently extend the Research and Development Tax Credit.

8. Fair and adequate Medicare/Medicaid payments to physicians and increased funding for teaching hospitals and medical resident physicians.

9. Immigration reform that enables expedient, cost-effective recruitment of international faculty, international graduate students in STEM fields, and international students in health professions.
Access to Higher Education

Higher Education Act Reauthorization: Work with Congress to promote the following priorities:
- Increase access to higher education, including early awareness and outreach
- Simplify and strengthen student aid systems
- Encourage college persistence & completion
- Support college savings and financial education
- Minimize student indebtedness and emphasizing grant and work aid
- Support the primacy of need-based aid
- Reduce administrative requirements

Federal Reporting Requirements for Universities: Eliminate burdensome, duplicative, and costly rules, regulations, and reporting requirements, with particular emphasis on federal requirements of the University as an employer.

Tax Incentives for Students, Families and Employees:
- Enhance current student-centered tax benefits, including the qualified tuition expenses deduction and the Hope and Lifetime Learning tax credits.
- Preserve Section 117(d) qualified tuition reductions.
- Extend Section 127 employer – provided education assistance benefits.
- Restore Section 117(c) exclusion for qualified higher education expenses.
- Extend the student loan interest deduction.

Tax Consequences for The University
- Affirm current tax treatment of universities.
- Prevent inappropriate intrusions into university governance and finance.
- Preserve current treatment of university endowments.
- Monitor, preserve, and/or improve current treatment of tax-exempt bonds.
- Ensure balance between appropriate transparency and tax compliance burden.
- Monitor Unrelated Business Income Tax (UBIT) proposals that may affect universities.

Tax Incentives for Charitable Individuals
- Extend and expand the IRA charitable rollover.
- Monitor charitable giving proposals, including deductibility, gifting rules and valuation of gifts.
Veteran's Education Benefits
-Support legislative efforts for technical corrections to The Post-P/11 Veterans Educational Assistance Improvements Act of 2010 (“Post 9/11 GI Bill”) to grant equal benefits for Veterans who attend any public or private institution.
-Work with relevant federal departments (DoED, DoD, VA, CFPB) on the implementation of the President’s Executive Order #13607, “Principles of Excellence” and any agency action that requires compliance with such principles.

90-10 Rule Adjustment: Include GI Bill benefits and Federal Employee Tuition Assistance in Department of Education 90-10 rule calculations for institutions of higher education.

Economic Transformation

Lumbee Recognition Act: Support legislative efforts for full federal recognition of the Lumbee Tribe of North Carolina (LTNC). Among other benefits, such recognition will give Tribal members access to additional federal educational funds, only available to members of federally-recognized tribal populations, which may be used at any of the UNC Constituent Institutions.

SBIR/STTR Reauthorization: Work for the long-term extension of the SBIR/STTR programs.

Global Readiness

Facilities and Administrative (F&A) expenditures for university-based research: Oppose efforts to arbitrarily cap cost reimbursement associated with federally-funded university-based research.

Cost Sharing: Work to minimize the number of federal research grants at NSF and other agencies that require cost-sharing. Cost sharing requirements in research grant solicitations often disadvantage universities and faculty members with small endowments or other research resources and discourage the best research proposals from being funded.

Open Access to Research: Support legislation or regulatory action to mandate public access to taxpayer-funded research at the NIH and other federal agencies without diminishing copyright protection currently accorded scholarly work.

DOD & DHS Research Contracts: Support efforts to reinforce DOD & DHS policy that basic research, unless classified, should not be burdened by clauses that restrict the dissemination and sharing of scientific information.

Export Controls Reform: Support efforts to revise and simplify the federal government ITAR and Export Controls rules to update and limit the technologies that are subject to ITAR restrictions and clearly protect technologies that are a threat to our national security.

Reform and Improve Grants.gov: Urge the federal government agencies and Congress to improve the grant and contract submission process known as "Grants.gov" to facilitate the grants and contracts process with the federal government.

Extend the R&D Tax Credit: Permanently extend the R&D credit to encourage commercial R&D investment that enables American companies to bring new and improved products and services to the market.
Patent Legislation: Monitor the implementation of the *Leahy-Smith America Invents Act of 2011* as it relates to University patents and technology transfer.

Bayh-Dole Refinements: Support the role of universities in the innovation process and continuation of Bayh-Dole provisions that allow universities to own and license the results of federal research.

Immigration Reform:
- *Create* a new visa category for graduate students pursuing academic disciplines related to science, technology, engineering, and mathematics (STEM) and who choose to stay in the United States to work in a related field.
- *Preserve* the dual intent provision for H-1B visa applicants.
- *Preserve* access to the H-1B program for foreign medical residents and fellows.
- *Ensure* that negative, unintended consequences are avoided in any changes to the green card system.
- *Permit* H-1B dependent employer provisions to apply to all employers.
- *Streamline* the Department of Labor process to enable greater information sharing regarding the status of PERM applications and to enable online employment posting to satisfy mandatory posting requirements.

**Health Care**

Global Public Health Workforce: Support legislation to establish a U.S. Global Health Service to coordinate and centralize U.S. efforts to assist in international areas of need, and provide fellowships and loan repayment in return for service overseas.

Health Professional Shortage Areas: Support legislation to help address workforce shortages in key health professionals including pharmacists, nurses, primary care physicians, dentists, and public health workers and allied health professionals, such as speech-language pathologists, audiologists, clinical laboratory scientists, medical imaging professionals, physical and occupational therapists, physician assistants, and related professionals (e.g., enhanced loan repayment and scholarship programs).

Tax-Exempt Status for Hospitals: Work with Congress and the hospital community to determine common definitions and reforms in such areas as community benefit, charitable care, charges to the uninsured and debt collection.

Telehealth: Support legislation that requires the Secretary of Health and Human Services to encourage and facilitate the adoption of state reciprocity agreements for practitioner licensure. Such action should be in coordination with physicians, health care practitioners and patient advocates.

Student Health Insurance: Work with Congress and the Administration to ensure that student health insurance is cost-effective for students.

Veterinary/Public Health: Support legislation to fund expansion of veterinarians with public health training to increase the veterinary public health faculty.

**Medicare and Medicaid Reform**

Physician Payments: Support fair and adequate payment rates for physicians, and support efforts to tie reimbursement rates to reasonable measures of quality over the entire health care sector.

Increase GME/IME Caps for Residents: Increase federal funding and raise the statutory cap to enable training of additional resident physicians.

Recovery Audit Contractors ("RACs"): Support legislative efforts to reform the RAC program by expediting
the appeal process, allowing providers to present underpayments, and by not requiring repayment until all
appeals have been finalized.

**Federal Medical Assistance Percentage ("FMAP")**: Support an increase in FMAP to help offset dramatic
cuts states may implement due to the weakened economy.

**Preserve the Medicare Bad Debt Moratorium and Maintain the Current Funding Level for Bad Debts.**

**Diagnosis Related Groups (DRG) Refinements**: Work to ensure that the severity case mix reimbursement is
dedquate for teaching hospitals.

**Medicaid Disproportionate Share Hospital (DSH) Payments**: Monitor prospective allocation changes.

### Energy & Environment

**Comprehensive Energy Policy**: Support legislation that authorizes energy research opportunities.

### Improving Public Education

**No Child Left Behind Act (2002 authorization)**: Support provisions that enable regional, university-based
professional development for teachers particularly those in high need, highly specialized content areas, enable
innovative teacher recruitment strategies particularly for math, science and special education teachers, enable
distance education using technology, and improve student outcomes while retaining state and local autonomy.

**Education Sciences Reform Act Reauthorization (2004 authorization)**: Support provisions that encourage
federal research on how learning and teaching can be improved; evaluating the effectiveness of educational
approaches that incorporate research findings; providing statistical benchmarks for progress in education; and
encouraging education decisions and policies that are based upon evidence.

**Individuals with Disabilities Education Act Reauthorization (2004 authorization)**: Support provisions that
enable improved training for special education teachers and other personnel and improved communication
among all stakeholders, including representatives from higher education.
September 12, 2012

TO:         UNC Federal Relations Council
            Affiliate Organizations

FROM:      Kimrey Rhinehardt, Bradley Ballou

RE:        113th Congress Federal Policy Agenda and Appropriations Guide

Thank you for your work on federal policy and funding issues in Fiscal Year (FY) 2012. In addition to our continued advocacy for FY 2012, we begin to prepare the University’s 113th Congress Policy Agenda and Appropriations Guide. Next year promises to be challenging for higher education. Many of our priorities will continue to be susceptible to funding reductions caused by ongoing concerns over the federal budget deficit and the looming possibility of sequestration. Therefore, we must continue to educate the North Carolina Congressional Delegation, the Obama Administration, and others on how important these programs are to the University of North Carolina.

This memo outlines the purpose and process for the following documents: The Federal Policy Agenda and the Federal Appropriations Guide. Please see the attached timeline for submission deadlines.

Federal Policy Priorities
The UNC Policy agenda reflects the University’s top federal authorization priorities for the next year. Please share the draft document with senior staff, research personnel, financial aid personnel, human resources, student affairs, international programs personnel and any other staff that will contribute to perfecting the document. Your campus’ feedback, combined with General Administration staff review, will serve as the basis for the draft recommendation submitted to the Board of Governors for final approval early next year.

It is important for you to review the draft document and offer suggestions for inclusion during the formal process. The final policy document will serve as the University’s “roadmap” for federal policy issues and therefore you and your campus-based/affiliate colleagues should freely advocate for these priorities. Please pay particular attention to the first two pages of the draft. The Board of Governors will submit this “priorities statement” as a cover to the expanded federal policy agenda. Extraneous issues throughout the year will be handled on a case by case basis and should be forwarded to Kimrey or Bradley as soon as possible to enable quick resolution.

Please email your suggested additions/changes to the Federal Policy Agenda to Bradley Ballou by October 26, 2012.
Federal Appropriations Guide
The Federal Appropriations Guide is a resource for Congress, the Administration, the University and the general public. Specifically, the guide provides stakeholders with a comprehensive overview of the University’s priorities for federal funding, particularly research funding and financial aid for students. This guide does not include every University program funded by the federal government. Please feel free to suggest additional federal programs for the Guide, but given the current fiscal environment, do so with the understanding that we will be asked by the North Carolina Congressional Delegation to suggest a proportional cut to another program in the budget to make available a “pay for” for the new program.

In the Guide, we have also included examples of campus-based research and activities that are supported by federal funding. Please review the examples and make us aware of any additional research or activities that illustrate why federal funding is important and should be included in the Guide. Please also remove any funding that has been eliminated or expired. Bradley will work directly with the campuses to perfect this document.

Please email your suggested additions/changes to the Appropriations Guide to Bradley Ballou by October 26, 2012.

Many thanks for all that you do to promote the University’s priorities in Washington. Please feel free to reach out to Kimrey Rhinehardt or Bradley Ballou if you have any questions or concerns.

cc: General Administration Council
    Chief Research Officers

Attachments: 113th Congress Federal Policy Priorities Document
              113th Congress Federal Appropriations Resource Guide

Kimrey Rhinehardt
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Bradley Ballou
Director of Federal Relations
brballou@northcarolina.edu
113th Congress Federal Agenda Process Timeline

Process memo distributed to Federal Relations Council  
September 12, 2012

Federal Relations Council Meeting  
September 19, 2012

Federal Relations Officers submits policy suggestions to Bradley  
October 26, 2012

General Administration releases policy draft for second review  
November 15, 2012

Final draft to Chancellors for their January meeting  
January 18, 2013

Chancellors consider policy draft during Chancellors’ Meeting  
January 28, 2013

Final policy draft in BOG pre-meeting materials  
February 1, 2013

BOG Public Affairs Committee considers federal policy agenda  
February 7, 2013

Full BOG considers federal policy agenda  
February 8, 2013
The University Of North Carolina  
Fiscal Year 2013 Federal Appropriations Guide

The following agencies, accounts, and programs are federal funding priorities of The University of North Carolina for Fiscal Year 2013. The Guide provides a summary of priority agencies and accounts within each federal spending bill, examples of existing research and activities at University of North Carolina campuses and affiliate organizations funded by the federal source and a comprehensive list of Congressionally-directed projects and special requests for Fiscal Year 2013.

Fiscal Year 2013 Budget Resolution
In recognition of the intrinsic relationship between the congressional budget process and the congressional appropriations process, The University of North Carolina requests Congress to consider each of the following agencies and programs as high priorities during consideration and approval of the Fiscal Year 2013 Budget Resolution.

Agriculture, Rural Development, Food and Drug Administration, and Related Agencies Appropriations Act

<table>
<thead>
<tr>
<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY2013 Congressionally-Directed Projects and Special Requests</th>
</tr>
</thead>
</table>
| Department of Agriculture (USDA)            | Agricultural Research Service (ARS) | Not Applicable | ARS funds programs that conduct long-term, high-risk, basic and applied research on subjects of national and regional importance, including: research with soil, water, and air sciences; plant sciences; animal sciences; commodity conversion and delivery; human nutrition; integrations of agricultural systems; and agricultural information and library services. | • Food Science Research Unit at NC State University  
• Plant Science Research Unit at NC State University  
• NC A&T State University Swine Lagoon Treatment Research  
• Soybean and Nitrogen Fixation Research at NC State University  
• National Environmental Modeling and Analysis Center at UNC Asheville  
• Market Quality and Handling Research Unit at NC State University |
<table>
<thead>
<tr>
<th>Department of Agriculture</th>
<th>Economic Research Service</th>
<th>Food Assistance and Nutrition Research Program (FANRP)</th>
<th>The Food Assistance and Nutrition Research Program (FANRP) at ERS addresses research issues associated with the Nation’s food assistance and nutrition programs, including the Supplemental Nutrition Assistance Program—SNAP (formerly the Food Stamp Program); the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC); and the Child Nutrition Programs.</th>
<th>• UNC Greensboro research on the Universal-Free and Eligibility-Based School Breakfast Programs in Guilford County, North Carolina</th>
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<tbody>
<tr>
<td>Department of Agriculture</td>
<td>National Institute of Food and Agriculture (NIFA)</td>
<td>Research and Education</td>
<td>The Research and Education account funds partnerships in research and education between USDA, the land-grant university system, and other private sector research and educational institutions. Priority programs funded through the NIFA Research and Education account include: • The Agriculture and Food Research Initiative (AFRI) • Hatch Act Provisions • McIntire-Stennis Cooperative Forestry</td>
<td>• UNC Greensboro Collaborative Development of Global Fiber, Fabric, and Related Products • NC State University and NCA&amp;T State University Center of Excellence in Sustainable Biobased Materials • NC A&amp;T State University hydroponics research for the advancement of horticulture, soil science, and agriculture</td>
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<tr>
<td>Department of Agriculture</td>
<td>National Institute of Food and Agriculture</td>
<td>Extension Activities</td>
<td>The Extension Activities account provides funding to the nation’s land-grant colleges and universities to disseminate practical applications obtained from agricultural research innovation. Specifically, these funds are provided to land-grant colleges and universities to support faculty members who teach, conduct research and provide outreach and technical assistance to farmers. This funding also requires matching funds from the state. Priority programs funded through the NIFA Extension Activities account include: • Smith-Lever Act • 1890 Institutions (Extension)</td>
<td>• Technical assistance provided from NC State University and NC A&amp;T State University to NC farming interests in: -Animal Agriculture -Agriculture &amp; Food: Commercial -Horticulture, Nursery, &amp; Turf -Farm Health and Safety -Field Crops -Food Safety and Processing -Pest Control -Specialty Crops -Forestry and Environmental Outreach -Health and Nutrition</td>
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<tr>
<td>Department of Agriculture</td>
<td>Animal and Plant Inspection Service (APHIS)</td>
<td>Not Applicable</td>
<td>APHIS funds programs designed to protect animal and plant resources from diseases and pests through inspection programs, quarantine activities, management of outbreaks, and regulation of the human care and treatment of animals.</td>
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<td></td>
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<td>- UNC Charlotte research of the impacts and spread of Sudden Oak Death in the United States.</td>
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|                            |                                            |                | - Food Animal Residue Avoidance Databank (FARAD) at NC State University  
  FARAD is a computer-based decision support system designed to provide livestock producers, Extension specialists, and veterinarians with practical information on how to avoid drug, pesticide and environmental contaminant residue problems. |

<table>
<thead>
<tr>
<th>Department of Agriculture</th>
<th>Veterinary Medicine Loan Repayment Program</th>
<th>Not Applicable</th>
<th>This program provides loan reimbursement funding for rural veterinarians who work in underserved communities.</th>
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<tbody>
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<td></td>
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<td>- Funding provided through this program will encourage more students to pursue a career in veterinary medicine (increasingly an area of need in North Carolina).</td>
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</table>
### Departments of Commerce and Justice, Science, and Related Agencies Appropriations Act

<table>
<thead>
<tr>
<th>Agency</th>
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<th>FY2013 Congressionally Directed Projects and Special Requests</th>
</tr>
</thead>
</table>
| National Science Foundation (NSF) | Research and Related Activities Account | Not Applicable | The Research account addresses NSF’s three strategic goals: (1) People - developing a diverse, internationally competitive and globally engaged workforce of scientists, engineers, and well-prepared citizens; (2) Ideas - enabling discovery across the frontiers of science and engineering, connected to learning, innovation, and service to society; and (3) Tools - providing broadly accessible, state-of-the-art science and engineering facilities and shared research and education tools. The Research and Related Activities Account funds research through the following directorates:  
- Biological Sciences  
- Computer and Information Science and Engineering  
- Engineering  
- Geosciences  
- Mathematical and Physical Sciences  
- Social, Behavioral, and Economic Sciences | - UNC Greensboro project on University Research Parks and the Innovative Performance of Park Firms  
- NC A&T State University Engineering Research Center for Revolutionizing Metallic Biomaterials  
- UNC Greensboro research on the ecological consequences of hybridization of asexual microbial symbionts  
- NC State University Engineering Research Center for Construction of Green Energy Grid  
- UNC Charlotte Cyber Defenders Program  
- NC State University Sustainability Energy and Engineering Program  
- UNC-Chapel Hill Science and Technology Center for Environmentally Responsible Solvents and Processes  
- UNC Greensboro Social Networks and Mitigation in Areas of Chronic Disasters  
- UNC Wilmington Chemical Ecology of Sponges on Coral Reefs  
- Winston-Salem State University retroviruses research program  
- UNC Asheville Advanced Technologies and Instrumentation  
- Appalachian State University Acquisition of Atomic Force Microscopes for Nanoscience Education  
- Western Carolina University Highlands Biological Station  
- UNC Charlotte Minority Women in Information Technology Program | |
### National Science Foundation

**Education and Human Resources Account**

Not Applicable

The Education and Human Resources Account supports programs across all levels of education in Science, Technology, Engineering and Mathematics (STEM). Specifically, the account supports activities that unite school districts with institutions of higher learning to improve precollege education. Funding through this account supports activities pertaining to student instruction, curriculum development, laboratory training, and instructional improvement.

- UNC Greensboro Universal/BEATS: Universal BioMusic Education Achievement Tier in Science
- UNC Greensboro A Study of Pedagogical Practices and the Development of Student’s Science Identities
- Appalachian State University program for Attracting and Retaining Scholars in Computer and Mathematical Sciences
- UNC Pembroke Robert Noyce Scholarship Program
- Elizabeth City State University Diversity in Geosciences
- Fayetteville State University Community Alliance for Mathematics and Computer Science

### Department of Commerce (DOC)

**National Oceanic and Atmospheric Administration (NOAA)**

**National Ocean Service (NOS)**

NOS provides scientific, technical, and management expertise to promote safe navigation; assess the health of coastal and marine resources; respond to natural and human-induced threats; and preserve the coastal ocean and global environments.

- Integrated Ocean Observing System (IOOS) which funds:
  - Carolinas Coastal Ocean Observing and Prediction System (Caro-COOPS) at NC State University
  - Coastal Ocean Research and Monitoring Program (CORMP) at UNC Wilmington
  - Southeast U.S. Atlantic Coastal Ocean Observing System (SEACOOS) at UNC-Chapel Hill

### Department of Commerce

**National Oceanic and Atmospheric Administration**

**Office of Oceanic and Atmospheric Research (OAR)**

OAR provides funding for environmental research and technology needed to improve NOAA weather, air quality warnings, forecasts, climate predictions, and marine services.

- National Underwater Research Program (NURP) which funds UNC Wilmington’s Aquarius Underwater Research Laboratory
- Oceanic and Atmospheric Research Cooperative Institutes:
  - NC State University, UNC-Chapel Hill, and UNC Wilmington are currently pursuing a cooperative institute to address sea level rise, coastal development, storm events, fisheries, marine ecosystems, and the impacts of climate change
- North Carolina Sea Grant

### Department of Commerce

**National Oceanic and Atmospheric Administration**

**National Marine Fisheries Service**

The National Marine Fisheries Service provides for the management and conservation of the Nation’s living marine resources and their environment.

- UNC Wilmington Mariculture Program
- NC State University Aquaculture Program

### Department of Commerce

**National Institute of Science and Technology (NIST)**

**Industrial Technology Services (ITS)**

The ITS Account supports the following two priority programs:
- **The Hollings Manufacturing Extension Program (MEP)** provides companies with services and access to public and private resources that enhance growth, improve productivity, and expand capacity.
- **Technology Innovation Program (TIP)**

- Hollings Manufacturing Extension Programs
  - NC State University Manufacturing Extension Center

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<tr>
<th>Department of Commerce</th>
<th>International Trade Administration (ITA)</th>
<th>Not Applicable</th>
<th>The ITA account supports programs that create economic opportunities for American workers and firms by promoting international trade, opening foreign markets, ensuring compliance with trade laws and agreements, and supporting U.S. commercial interests at home and abroad.</th>
<th>• Western Carolina University Regionalism and Clusters for Local Development Program</th>
</tr>
</thead>
</table>
| National Telecommunica tions and Information Administration (NTIA) | Public Telecommunications Facilities, Planning and Construction (PTFP) | Not Applicable | PTFP awards competitive grants that help public broadcasting stations, State and local governments, Indian tribes, and nonprofit organizations construct facilities to bring educational and cultural programming to the American public using broadcasting and non-broadcasting telecommunications technologies. | • NC Central University to activate and program supplemental audio channels for WNCU-FM  
• UNC-TV for the acquisition of an HD video server and a near-line storage system  
• UNC-TV for the purchase and installation of equipment to activate WUNW-DT in Haywood County to bring the first public television service to 42,111 people  
• UNC-TV to construct 19 digital TV translators with microwave interconnection in mountain communities of western North Carolina  
• UNC-Chapel Hill to replace analog production equipment at WUNC-FM with digital: audio production boards and equipment racks |
| National Aeronautics and Space Administration (NASA) | Science Mission Directorate | Not Applicable | The Science Directorate conducts research in four main areas: Earth Science, Planetary Science, Heliophysics, and Astrophysics. This funding seeks to answer fundamental questions concerning the ways in which Earth’s climate is changing. | • Appalachian State University Lunar Soil and Dust Mitigation Technology Development Program  
• Elizabeth City State University Research in Annual Antarctic Ice Sheet Discharge  
• UNC-Chapel Hill Impacts of Land-Cover/Land-Use Change on Terrestrial Ecosystem Carbon Budget |
| National Aeronautics and Space Administration | Aeronautics Mission Directorate | Not Applicable | The Aeronautics Directorate works to enhance the state of aeronautics for our nation. Funding is provided for cutting-edge, fundamental research in traditional aeronautical disciplines and emerging fields to help transform our nation's air transportation system, and to support future air and space vehicles. | • NC A&T State University Turbine Blade Research Program  
• NC State University Decentralized Autonomous Flight Control Systems for Multi-Vehicle Formations |
National Aeronautics and Space Administration | Exploration Mission Directorate | Not Applicable | The Exploration Directorate develops capabilities and supporting research and technology that will make human and robotic exploration possible. It also makes sure that our astronaut explorers are safe, healthy, and can perform their work during long-duration space exploration. | - UNC-Chapel Hill Application of Proteomics to Study Skeletal Muscle Atrophy Resulting From Exposure to Microgravity  
- UNC Charlotte Investigation of evolvable, silicon-on-insulator, analog CMOS circuits for the wide temperature environment of lunar exploration |

National Aeronautics and Space Administration | Education Programs | Not Applicable | The NASA Education account funds science, technology, engineering, and mathematics education activities to educate and inspire our next generation of explorers and innovators. | - UNC Pembroke Space Sciences Education Awareness Program for North Carolina's Native American Youth  
- North Carolina Space Grant -based at NC State University (collaboration with 10 UNC campuses)  
- Elizabeth City State University Inspiring the Next Generation of Earth Explorers through Remote Sensing Studies: Remote Sensing Explorers |
### Department of Defense Appropriations Act

<table>
<thead>
<tr>
<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY2013 Congressionally-Directed Projects and Special Requests</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Defense (DOD)</td>
<td>Research, Development, Test and Evaluation (RDT&amp;E) (Army, Navy, Air Force and Defense Wide)</td>
<td>6.1 Basic Research</td>
<td>The RDT&amp;E account funds research and activities pertaining to the development and testing of equipment, development of prototypes, fabrication of technology-demonstration devices, and support of basic research and exploratory development of technologies with potential military applications.</td>
<td>- NC A&amp;T State University Speech Intelligibility Research for the Development of Military Radio Communication Devices - NC State University Sharp Interface Methods for Moving Interface/Free Boundary Problems and Applications - UNC-Chapel Hill Prostate Cancer Screening Program - UNC Charlotte Semiconductor Materials Development Program - Fayetteville State University Nanolayers and Nanoparticles of Solid Solutions Research - NC State University Dilute Magnetic Semiconductor Devices Based on Fermi Level Engineering - NC Central University Embracing Diversity in Global War on Terrorism - Appalachian State University Quercetin Research - Effects on Stress and Immune Functioning - NC State University Multi-functional Extreme Environment Surfaces: Nanotribology for Air and Space - Department of Defense Carolinas Cyber-Defender Scholarship Program at UNC Charlotte - UNC Wilmington Nitrogen gas dynamics in adipose tissues of diving mammals</td>
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<tr>
<td></td>
<td>6.2 Applied Research</td>
<td>6.3 Advanced Technology Development</td>
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</tbody>
</table>

RDT&E funding is typically funded through one of the following offices:
- Army Research Laboratory
- Office of Naval Research
- Air Force Research Laboratory
- Defense Advanced Research projects Agency (DARPA)
## Energy and Water Development and Related Agencies Appropriations Act

<table>
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<tr>
<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY2013 Congressionally-Directed Projects and Special Requests</th>
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</thead>
</table>
| **Department of Energy (DOE)**  | Office of Science                            | Not Applicable    | The Office of Science funds DOE’s work on high energy physics, nuclear physics, biological and environmental sciences, basic energy sciences, advanced scientific computing, maintenance of the laboratories physical infrastructure, fusion energy sciences, safeguards and security, workforce development for teachers and scientists, safeguards and security at Office of Science facilities, and science program direction.                                                                                                                                                                                                                       | • Elizabeth City State University Innovative Computational Science-Scientific Visualization Project  
• NC State University Optimizing Resource Utilization for High Throughput Data-Intensive Computing Program  
• UNC-Chapel Hill Nuclear Theory with Applications to Astrophysics and Particle Physics  
• NC State University Integrated Multi-scale Modeling of Molecular Computing Devices                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| **Office of Energy Efficiency and Renewable Energy** | Not Applicable                                |                   | The Office of Energy Efficiency and Renewable Energy supports DOE’s renewable energy and energy conservation research, development, demonstration and deployment activities and federal energy assistance programs.                                                                                                                                                                                                                                                                                                                                                                                                      | • NC A&T State University Careers in Solar Energy Technology Preparation Program  
• NC Central University Research in Photovoltaic and Thermophotovoltaic Semiconductors Program  
• NC State University Database of State Incentives for Renewable Energy  
• Appalachian State University Biofuels and Biomass Research Initiative                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| **Office of Nuclear Energy**    | Not Applicable                                |                   | The Office of Nuclear Energy leads DOE’s investment in the development and exploration of advanced nuclear science and technology. Most importantly, it supports universities in the operation of research reactors and in the performance of other nuclear science related activities.                                                                                                                                                                                                                                                                                                                                                                                     | • NC State Nuclear Reactor Program – In 1953 NC State University initiated the first nuclear reactor dedicated to teaching and research. The program continues to operate and serve the public.                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| **Fossil Energy Research and Development** | Not Applicable                                |                   | The Office of Fossil Energy Research and Development funds DOE’s programs that are intended to make prudent investments in long-range research and development that help protect the environment through higher efficiency power generation, advanced technologies and improved compliance and stewardship operations.                                                                                                                                                                                                                                                                                                                                                                             | • NC A&T State University Reduction of Nitrogen Oxides in Coal Combustion Research                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
### Department of Homeland Security Appropriations Act

<table>
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<tr>
<th>Agency</th>
<th>Account</th>
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<tbody>
<tr>
<td>Department of Homeland Security (DHS)</td>
<td>Federal Emergency Management Agency (FEMA)</td>
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<tr>
<td>Appalachian Regional Commission (ARC)</td>
<td>Appalachian Regional Commission</td>
</tr>
</tbody>
</table>

#### Examples of Existing Competitively-Awarded Research provided through account

- **FY2013 Congressionally-Directed Projects and Special Requests**
  - UNC Coastal Studies Institute (collaboration between UNC-Chapel Hill, NC State University, East Carolina University, Elizabeth City State University, and UNC-Wilmington)
  - Appalachian State University Wind Energy Workshops
  - Appalachian State University Western North Carolina Network for Access and Success
  - Appalachian State University Teaching Project for Regional Improvement

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<tr>
<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
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<tbody>
<tr>
<td>Department of Homeland Security (DHS)</td>
<td>Federal Emergency Management Agency (FEMA)</td>
<td>Pre-Disaster Mitigation (PDM)</td>
<td>The PDM program provides funds to states, territories, Indian tribal governments, communities, and universities for hazard mitigation planning and the implementation of mitigation projects prior to a disaster event. Funding these plans and projects reduces overall risks to the population and structures, while also reducing reliance on funding from actual disaster declarations. PDM grants are to be awarded on a competitive basis and without reference to state allocations, quotas, or other formula-based allocation of funds.</td>
</tr>
<tr>
<td>Department of Homeland Security</td>
<td>Science and Technology Research</td>
<td>Not Applicable</td>
<td>The mission of the S&amp;T Directorate is to develop and deploy technologies and capabilities to secure our homeland. This Directorate conducts and enables research, development, testing, evaluation, and the timely transition of homeland security capabilities to Federal, State, and local operational end-users.</td>
</tr>
</tbody>
</table>

**UNC System Pre-Disaster Mitigation Planning Grant,** funds used to develop for the development of Hazard Mitigation plans for the following campuses:
- Appalachian State University
- NC A&T State University
- University of North Carolina School of the Arts
- UNC Asheville
- UNC Charlotte
- UNC Greensboro
- Western Carolina University
- Winston-Salem State University

**The SouthEast Regional Visualization and Analytics Center at UNC Charlotte**

**UNC-Chapel Hill Center of Excellence for Natural Disasters, Coastal Infrastructure and Emergency Management**
<table>
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<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY 2013 Congressionally-Directed Projects and Special Requests</th>
</tr>
</thead>
</table>
| National Endowment for the Humanities (NEH) | National Endowment for the Humanities | Not Applicable | NEH is an independent federal agency dedicated to supporting research, education, preservation, and public programs in the humanities. NEH support helps universities to leverage private investment for humanities-related activities. Important NEH Programs include:  
- Research Programs  
- Education Programs  
- Preservation and Access Programs  
- Public Programs  
- We the People  
- Digital Humanities Initiative |  
- NC Central University Digital Records initiative to preserve rare African American literature  
- UNC Pembroke Archives and Records Management for records pertaining to the Lumbee Tribe  
- UNC-Chapel Hill Archival Research Fellowship Program  
- Western Carolina University Mountain Heritage Initiative  
- Appalachian State University History of the Blue Ridge Parkway Project | |
| National Endowment for the Arts (NEA) | National Endowment for the Arts | Not Applicable | The NEA is an independent federal agency that offers support for projects exhibiting artistic excellence. NEA support helps universities to leverage private investment for activities that contribute to the arts. Important NEA Programs include:  
- Access to Artistic Excellence  
- Challenge America: Reaching Every Community  
- Federal/State Partnerships  
- Learning in the Arts  
- Promotion of the Arts-Grants to Organizations and Individuals |  
- UNC Greensboro Access to Artistic Excellence (supporting a production of: Martha Graham’s “Steps in the Street”)  
- UNC Greensboro Literature Fellowship for Creative Writing  
- UNC-Chapel Hill Southern Music Preservation Project  
- Fayetteville State University Access to Artistic Excellence (supporting a production of: The Marriage of Figaro)  
- North Carolina Arts Council (supports the arts at all UNC Campuses) | |
| Environmental Protection Agency (EPA) | Science and Technology | Not Applicable | The EPA Science and Technology account funds activities related to pollution control and the promotion of clean water. |  
- UNC-Chapel Hill Institute for Marine Sciences Rapid Bacterial Testing Program at Atlantic Beach, NC  
- UNC-Chapel Hill Environmental Finance Center | |
### Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act

<table>
<thead>
<tr>
<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY2013 Congressionally-Directed Projects and Special Requests</th>
</tr>
</thead>
</table>
| Department of Health and Human Services (HHS) | National Institutes of Health (NIH) | Not Applicable | The NIH is the primary agency of the United States government responsible for biomedical and health-related research. The University of North Carolina annually receives approximately $350 million through the NIH. Funding is provided through the following NIH Institutes and Centers:  
- National Cancer Institute  
- National Heart, Lung, and Blood Institute  
- National Human Genome Research Institute  
- National Institute on Aging  
- National Institute on Alcohol Abuse & Alcoholism  
- National Institute of Allergy and Infectious Diseases  
- National Institute of Arthritis and Musculoskeletal and Skin Diseases  
- National Institute of Biomedical Imaging and Bioengineering  
- Eunice Kennedy Shriver National Institute of Child Health and Human Development  
- National Institute on Deafness and Other Communication Disorders  
- National Institute of Dental & Craniofacial Research  
- National Institute of Diabetes and Digestive and Kidney Diseases  
- National Institute on Drug Abuse  
- National Institute of Environmental Health  
- National Institute of General Medical Sciences  
- National Institute of Mental Health  
- National Institute of Neurological Disorders & Stroke  
- National Institute of Nursing Research  
- National Library of Medicine  
- Center for Information Technology  
- Center for Scientific Review  
- John E. Fogarty International Center for Advanced Study in the Health Sciences  
- National Center for Complementary and Alternative Medicine  
- Center on Minority Health and Health Disparities  
- National Center for Research Resources  
- NIH Clinical Center |  
- UNC-Chapel Hill National Children’s Study  
- UNC Greensboro Social Support, Depression, and Oral Health in Later Life  
- UNC Greensboro Oral Health Disparities among Elders with and without Cognitive Impairment  
- Elizabeth City State University Minority Health Disparities International Training Research Program  
- UNC Wilmington Effects of Inhaled Florida Red Tide Brevetoxins  
- UNC Greensboro Relations Between Early Emotion and Cognitive Processes  
- NC Central University Center of Excellence in Minority Health Disparities  
- Winston-Salem State University Conformational Changes Due to Neurosteroids at GABA-A Receptors  
- UNC Greensboro Developmental Trajectories of Early Behavior Problems  
- UNC-Chapel Hill Interventions to Control Obesity in Colleges  
- UNC-Chapel Hill Treatment of Fungal Diseases  
- UNC Pembroke Research Initiative for Scientific Enhancement (RISE) Program  
- UNC-Chapel Hill Gene Therapy Center  
- Elizabeth City State University Mammaryography Disparities in Elderly African American Women  
- UNC-Chapel Hill North Carolina Translational and Clinical Sciences Institute  
- Appalachian State University Cardiac Enzyme Research – Potential Drug Development  
- UNC-Chapel Hill Center for Computer Integrated Systems for Microscopy and Manipulation (CISMM)  
- Winston-Salem State University Center to Improve Minority Health and Eliminate Health Disparities  
- UNC Charlotte Liver Disease and Cancer Research | In support of NIH’s policy of awarding funding on a completely competitive basis, The University of North Carolina does not request any earmarks through the agency. |
### Department of Health and Human Services

<table>
<thead>
<tr>
<th>Agency</th>
<th>Programs/Projects</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Centers for Disease Control (CDC)</strong></td>
<td>Not Applicable</td>
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<tr>
<td><strong>HRSA</strong></td>
<td>Not Applicable</td>
</tr>
<tr>
<td><strong>CMS</strong></td>
<td>Not Applicable</td>
</tr>
</tbody>
</table>

#### Department of Health and Human Services

**Centers for Disease Control (CDC)**
- The CDC focuses on several major priorities: providing core public health functions; responding to urgent health threats; monitoring the Nation’s health using sound scientific methods; building the Nation’s health infrastructure to ensure our national security against bioterrorist threats; assuring the Nation’s preparedness for emerging infectious diseases and potential pandemics; addressing racial health disparities, promoting women’s health; and providing leadership in the implementation of nationwide prevention strategies to encourage responsible behavior and adoption of lifestyles that are conducive to good health.

- UNC-Chapel Hill North Carolina Center for Public Health Preparedness
- UNC Greensboro HIV/AIDS Prevention Program
- UNC-Chapel Hill National Violence Prevention Leader and Practitioner Training Program
- UNC Charlotte Evaluation of the ACT Parent Raising Safe Kids Program
- UNC-Chapel Hill North Carolina Center for Autism and Developmental Disabilities Research and Epidemiology
- UNC-Chapel Hill Injury Prevention Research Center (UNC IPRC)

**Health Resources and Services Administration (HRSA)**
- HRSA supports projects and programs that improve education and training of healthcare professionals, projects that improve health care in rural areas, and initiatives in telemedicine, distance learning, or use of information technology to improve healthcare.

- Priorities within HRSA:
  - National Health Service Corps
  - Health Careers Opportunity Program
  - Scholarships for Disadvantaged Students
  - Training in Primary Care Medicine and Dentistry
  - Area Health Education Centers
  - Public Health Workforce Development Programs

- UNC Greensboro Adult/Gerontological Nurse Practitioner Concentration
- UNC-Chapel Hill Public Health Traineeship Program
- UNC Pembroke Eliminating Disparities in Perinatal Health (Healthy Start)
- UNC Greensboro Nurse Anesthetist Traineeship Program
- Winston-Salem State University Scholarships for Disadvantaged Students
- Western Carolina University Leadership Education for Administration at a Distance Program
- UNC-Chapel Hill HIV Oral Health Demonstration Project
- NC Central University Scholarships for Disadvantaged Students

**Centers for Medicare and Medicaid Services, Program Management (CMS)**
- CMS funds support a variety of studies and demonstrations in areas such as monitoring and evaluating health system performance; improving health care financing and delivery mechanisms; modernization of the Medicare program; the needs of vulnerable populations in the areas of health care access, delivery systems, and financing; and information to improve consumer choice and health status.

- NC A&T State University Stress Management Program
- UNC-Chapel Hill Rebalancing Initiative Pilot Project at the Institute on Aging
- Fayetteville State University Community Awareness Program pertaining to Colorectal Health and Cancer Reduction in African Americans (The Faith Project)
AHRQ is a home to research centers that specialize in major areas of health care research such as quality improvement and patient safety, outcomes and effectiveness of care, clinical practice and technology assessment, and health care organization and delivery systems. It is also a major source of funding and technical assistance for health services research and research training at leading U.S. universities and other institutions, as well as a science partner, working with the public and private sectors to build the knowledge base for what works—and does not work—in health and health care and to translate this knowledge into everyday practice and policymaking.

SAMHSA's Campus Suicide Prevention program is funded by Congress under the Garrett Lee Smith Memorial Act (the Act). Campus grantees use funds to:
- Develop training programs to teach effective responses to students with mental and behavioral health problems.
- Prepare materials that address warning signs of suicide, describe risk and protective factors, and identify actions to take with students in distress. Prepare materials for families of college students to increase awareness of potential mental and behavioral health issues.

The Pell Grant Program provides need-based grants to low-income undergraduate and certain post baccalaureate students to promote access to postsecondary education.

Perkins Loans are need-based student loans offered by the U.S. Department of Education to assist American college students in funding their post-secondary education. Perkins Loans may be forgiven for teachers working in low-income schools, as well as for teachers specializing in shortage areas such as math, science, and bilingual education.
| Department of Education | Student Financial Assistance | Campus Based Aid: Federal Work Study (FWS) | FWS provides part-time jobs for students with financial need, allowing them to earn money to help pay education expenses. The program encourages community service work and work related to the recipient's course of study. | • More than 6,000 students at UNC Campuses receive Work Study Assistance, averaging over $1,200 per recipient.  
• More than 20,000 students statewide receive Work Study assistance, averaging over $1,200 per recipient. |
| Department of Education | Student Financial Assistance | Campus Based Aid: Supplemental Education Opportunity Grants (SEOG) | SEOGs are for undergraduate students with exceptional financial need. Pell Grant recipients with the lowest expected family contributions are given priority status for SEOG grants. | • More than 9,500 students at UNC Campuses receive Supplemental Education Assistance, averaging more than $850 per recipient.  
• More than 26,500 students receive Supplemental Education assistance Statewide, averaging more than $800 per recipient. |
| Department of Education | Student Financial Assistance | State Based Aid: Leveraging Educational Assistance Partnership Program (LEAP) | The LEAP program provides a Federal match to states as an incentive for providing need-based grant and work-study assistance to eligible postsecondary students. | • The State of North Carolina received $1.49 Million in Fiscal Year 2008 from the LEAP program.  
• The federal grant contributed to $124,831,216 in state awarded need-based financial aid in the same fiscal year. |
| Department of Education | Higher Education | Title III, Part B: Strengthening Historically Black Colleges and Universities (HBCU) | This program provides financial assistance to HBCUs to establish or strengthen their physical plants, financial management, academic resources, and endowment-building capacity. Activities may include student services, educational equipment acquisition, facility construction, and faculty and staff development. | • Elizabeth City State University  
• Fayetteville State University  
• NC A&T State University  
• NC Central University  
• Winston-Salem State University |
| Department of Education | Higher Education | Title III, Part B: Historically Black Graduate Institutions (HBGI) | HBGI provides financial assistance to HBCUs that offer at least one professional or terminal degree program of instruction in the physical or natural sciences, engineering, mathematics, or other scientific discipline in which African Americans are underrepresented. Funds may be used to establish or strengthen their physical plants, financial management, academic resources, and endowment-building capacity. Activities may include student services, educational equipment acquisition, facility construction, and faculty and staff development. | • NC A&T State University School of Engineering  
• NC Central University School of Law |
| Department of Education | Higher Education | Historically Black Masters Programs (HBMP) | HBMP provides financial assistance to HBCUs with masters degree programs of instruction in mathematics, engineering, the physical or natural sciences, computer science, information technology, nursing, allied health, or other scientific disciplines in which African Americans are underrepresented. Funds may be used to establish or strengthen their physical plants, financial management, academic resources, and endowment-building capacity. Activities may include student services, educational equipment acquisition, facility construction, and faculty & staff development. | • Elizabeth City State University Masters Degree Programs  
• Fayetteville State University Masters Degree Programs  
• Winston-Salem State University Masters Degree Programs |
| Department of Education | Higher Education | Minority Science and Engineering Improvement | Funds are used to provide discretionary grants to institutions with minority enrollments greater than 50 percent to purchase equipment, develop curricula, and support advanced faculty training. Grants are intended to improve science and engineering education programs and increase the number of minority students in the fields of science, mathematics, and engineering. | • Elizabeth City State University Science Programs  
• Fayetteville State University Science Programs |
| Department of Education | Higher Education | Graduate Assistance in Areas of National Need (GAANN) | GAANN grants go to graduate academic departments and programs for fellowship support in areas of national need as determined by the Secretary. In FY 2007, the Secretary designated the following areas of national need: biology, chemistry, computer and information sciences, engineering, mathematics, physics, and nursing. Recipients must demonstrate financial need and academic excellence, and seek the highest degree in their fields. | The following UNC campuses received GAANN funding in 2008:  
• UNC Charlotte Computer Science College of Computing Informatics  
• UNC-Chapel Hill Mathematics, College of Arts and Sciences  
• NC State University Graduate School |
| Department of Education | Higher Education | Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) | GEAR UP prepares middle and high school students for college through academic preparation programs and scholarships for students, professional development activities for educators, and college access information for students and parents. | • State of North Carolina GEAR UP Grant FY 2005-2011: $19,000,000  
• Appalachian State University Partnership Grant FY 2008: $850,000  
• Fayetteville State University FY 2008: $1,218,000 |
### Native American – Serving Non-Tribal Institutions Program

The purpose of the Native American-Serving Non-Tribal Institutions Program is to support institutions of education in their effort to increase their self-sufficiency by improving academic programs, institutional management, and fiscal stability.

<table>
<thead>
<tr>
<th>Department of Education</th>
<th>Higher Education</th>
<th>Native American – Serving Non-Tribal Institutions Program</th>
<th>UNC Pembroke FY2008: $679,272</th>
</tr>
</thead>
</table>

### TRIO Programs

TRIO Programs are educational opportunity outreach programs designed to motivate and support students from disadvantaged backgrounds. TRIO services are provided through the following six programs:

- **The Educational Opportunity Centers** program provides counseling and information on college admissions to qualified adults who want to enter or continue a program of postsecondary education.
- **The Ronald McNair Program** prepares participants for doctoral studies through involvement in research and other scholarly activities.
- **Student Support Services** provides opportunities for academic development, assists students with basic college requirements, and serves to motivate students enrolled in postsecondary education.
- **Talent Search** provides academic, career, and financial counseling to its participants and encourages them to graduate from high school and continue on to pursue a postsecondary education.
- **Upward Bound** provides fundamental support to participants in their preparation for college entrance.
- **The Upward Bound Math and Science Program** funds specialized math and science centers designed to strengthen the math and science skills of participating students.

<table>
<thead>
<tr>
<th>Department of Education</th>
<th>Higher Education</th>
<th>TRIO Programs</th>
<th>Education Opportunities Center - Fayetteville State University</th>
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<tbody>
<tr>
<td></td>
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<td><strong>Ronald McNair Program</strong> - NC A&amp;T State University</td>
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<td>- Elizabeth City State University</td>
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<td><strong>Student Support Services</strong> - Appalachian State University</td>
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<td>- UNC Charlotte</td>
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<td>- UNC Greensboro</td>
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<td>- UNC Pembroke</td>
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<td>- Winston-Salem State University</td>
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<td><strong>Talent Search</strong> - NC State University</td>
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<td>- Elizabeth City State University</td>
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<td>- Fayetteville State University</td>
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<td>- Western Carolina University</td>
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<td><strong>Upward Bound</strong> - Appalachian State University</td>
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<td>- Winston-Salem State University</td>
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<td>- UNC-Chapel Hill</td>
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<td>- NC State University</td>
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<td>- UNC Pembroke</td>
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<td>- Fayetteville State</td>
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<td><strong>Upward Bound Math and Science Program</strong> - NC A&amp;T State University</td>
</tr>
<tr>
<td>Department of Education</td>
<td>Institute of Education Sciences (IES)</td>
<td>Regional Educational Laboratories</td>
<td>This account supports a network of ten regional laboratories responsible for promoting the use of broad-based systemic strategies to improve student achievement.</td>
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<tr>
<td>Department of Education</td>
<td>Institute of Education Sciences</td>
<td>Research, Development, and Dissemination</td>
<td>This account supports research, development, and dissemination activities that are aimed at expanding fundamental knowledge of education and promoting the use of research and development findings in the design of efforts to improve education.</td>
</tr>
<tr>
<td>Department of Education</td>
<td>Institute of Education Sciences</td>
<td>Statewide Data Systems</td>
<td>This program aids state education agencies in developing and implementing longitudinal data systems. These systems are intended to enhance the ability of States to efficiently and accurately manage, analyze, and use education data. The data systems developed with funds from these grants help states, districts, schools, and teachers make data-driven decisions to improve student learning as well as facilitate research to increase student achievement and close achievement gaps.</td>
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<td>The North Carolina Department of Public Instruction was awarded $6 Million in 2007 to supplement state efforts to implement a longitudinal data plan.</td>
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</tbody>
</table>
| Department of Education | Special Education Grants            | Personnel Preparation Programs  | Personnel Preparation Programs assists State Education Agencies in reforming and improving their systems for personnel preparation and professional development in early intervention, education, and transition services in order to improve results for children with disabilities. | • Personnel Preparation Programs are located at the following campuses:  
  - UNC-Chapel Hill  
  - UNC Charlotte  
  - UNC Greensboro  
  - East Carolina University  
  - NC A&T State University  
  - NC Central University  
  - Western Carolina University |
| Department of Education | Higher Education                    | Fund for the Improvement of Post secondary Education (FIPSE) | FIPSE funding is available for a variety of higher education projects, including projects to hire and train faculty, develop and improve curricula, establish and improve degree programs, improve teacher prep programs, upgrade technology and telecommunications, acquire science laboratory equipment, provide student support, implement university partnerships with school districts, and establish research and training centers. | • UNC-Chapel Hill U.S. – EU Atlantis Program  
• NC State University U.S.-Brazil Higher Education Consortia Program  
• Appalachian State University Transatlantic Curricula in Agriculture Principles Applied to Oenology, Viticulture, and Natural Products  
• Winston-Salem State University Strengthening Historically Black Colleges and Universities Program |
### Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, continued

<table>
<thead>
<tr>
<th>Department of Education Innovation and Improvement</th>
<th>Fund for the Improvement of Education (FIE)</th>
<th>Funds elementary and secondary education activities such as, instruction services, after-school centers, curricula development, teacher training, acquisition of books and computers, arts education, special education, and early childhood education. In general, the focus of FIE is to provide educational services to K-12 students. Construction, renovation, and wiring or school buildings, are not eligible along with daycare and childcare activities.</th>
<th>• UNC-Chapel Hill National Research Center on Rural Education Support - research focused on issues that face children as they begin their education, issues that face students during the transition to early adolescence, and the role that distance education can play in rural schools</th>
</tr>
</thead>
</table>
| Department of Education Innovation and Improvement | Teacher Incentive Fund | This program supports efforts to develop and implement performance-based teacher and principal compensation systems in high-need schools. | • Mission Possible Guilford County  
• Cumberland County Differential Pay for Teachers Initiative |
| Department of Education Innovation and Improvement | Transition to Teaching | The Transition to Teaching program provides grants to recruit and retain highly qualified mid career professionals (including highly qualified paraprofessionals) as teachers in high-need schools, including recruiting teachers through alternative routes to teacher certification. It also provides funds to encourage the development and expansion of alternative routes to certification under state approved programs that enable individuals to be eligible for teacher certification within a reduced period of time, relying on the experience, expertise, and academic qualifications of an individual or other factors in lieu of traditional course work in the field of education. | • The TEACH-UP Program Partnership between Wake County Public School System and the following five institutions of higher education: North Carolina State University, Peace College, Shaw University, Saint Augustine's College, Wake Technical Community College and the NC Model Teacher Education Consortium  
• The PATHS program at Fayetteville State University and NC State University  
• NC A&T State University Rural Teachers Fellows Initiative  
• UNC-Chapel Hill Transition to Teaching Program  
• East Carolina University Special Education Transition to Teaching |
### Department of Education

#### Innovation and Improvement

**Ready to Learn Television**

Ready to Learn supports the development of educational programming for preschool and early elementary school children and their families; educational television programming and ancillary materials to increase school readiness for young children; and accompanying support materials and services that promote the effective use of educational programming.

- Ready to Learn enables UNC-TV to provide educational video programming for preschool and elementary school aged children.

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#### Department of Education

#### Office of Elementary and Secondary Education:

**Title I Grants to States**

Title I grants to local educational agencies (LEAs) provide supplemental education funding, especially in high-poverty areas, for local programs that provide extra academic support to help raise the achievement of eligible students or, in the case of school-wide programs, help all students in high-poverty schools to meet challenging State academic standards. The program serves an estimated 20 million students in nearly all school districts and more than half of all public schools—including two-thirds of the Nation’s elementary schools.

- Quality K-12 public education is critical to the future success of North Carolina communities. A strong public education leads to success in higher education.

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#### Department of Education

#### School Improvement Programs

**State Grants for Improving Teacher Quality**

States and LEAs may use the funds for a range of activities related to the certification, recruitment, professional development, and support of teachers and administrators. Activities may include reforming teacher certification and licensure requirements, addressing alternative routes to State certification of teachers, recruiting teachers and principals, and implementing teacher mentoring systems, teacher testing, merit pay, and merit-based performance systems. These funds may also be used by districts to hire teachers to reduce class sizes.

- The University of North Carolina receives more than $800,000 through this program annually.
### Department of Education

| Office of Indian Education | Special Programs for Indian Children | Funds are used for demonstration grants to improve Indian student achievement through early childhood education and college preparation programs, and for professional development grants for training Indians who are preparing to begin careers in teaching and school administration. | • UNC Pembroke School of Education (received funding in 2006, 2007, and 2008) |

### Corporation for Public Broadcasting

<table>
<thead>
<tr>
<th>Corporation for Public Broadcasting</th>
<th>Not Applicable</th>
<th>The CPB promotes public telecommunications services (television, radio, and online) for the American people. CPB invests in more than</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>• Funding provided by the Corporation for Public Broadcasting supports UNC-TV operations and programming. This funding is critical to UNC-TV</td>
</tr>
</tbody>
</table>

### Institute for Museum and Library Services (IMLS)

| National Leadership Grants | Not Applicable | National Leadership Grants support projects that have the potential to elevate museum and library practice. Specifically they should improve the ability of museums and libraries to preserve culture, heritage and knowledge while enhancing learning. | • UNC-Chapel Hill Building Digital Resources |

### Institute for Museum and Library Services

<table>
<thead>
<tr>
<th>Laura Bush 21st Century Librarian Program</th>
<th>Not Applicable</th>
<th>The Laura Bush 21st Century Librarian Program supports projects to develop faculty and library leaders, to recruit and educate the next generation of librarians, to conduct research on the library profession, and to support early career research on any area of library and information science by tenure-track, untenured faculty in graduate schools of library and information science.</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td>• Laura Bush 21st Century Librarian Program</td>
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<tr>
<td></td>
<td></td>
<td>- NC Central University Minority Masters of Library Science Degree Scholarships</td>
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<tr>
<td></td>
<td></td>
<td>- UNC Greensboro ACE (Academic and Cultural Enrichment) Scholars Program</td>
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<tr>
<td></td>
<td></td>
<td>- East Carolina University new school library media specialists (recruitment and training)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- UNC-Chapel Hill career-tracking model for library and information sciences</td>
</tr>
</tbody>
</table>

### State, Foreign Operations, and Related Programs Appropriations Act

<table>
<thead>
<tr>
<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY2013 Congressionally-Directed Projects and Special Requests</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of State</td>
<td>Educational and Cultural Exchange Programs</td>
<td>Gilman International Scholarship Program</td>
<td>The Gilman International Scholarship Program offers grants for U.S. citizen undergraduate students of limited financial means to pursue academic studies abroad.</td>
<td>Students from each of the University of North Carolina campuses are eligible to apply for scholarships provided through the Gilman International Scholars Program.</td>
<td></td>
</tr>
<tr>
<td>Department of State</td>
<td>Educational and Cultural Exchange Programs</td>
<td>Fulbright Scholarship Program</td>
<td>The Fulbright Program provides funds for students, scholars, and professionals to undertake graduate study, advanced research, university teaching, and teaching in elementary and secondary schools abroad.</td>
<td>Students from each of the University of North Carolina campuses are eligible to apply for scholarships provided through the Fulbright Program.</td>
<td></td>
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<tr>
<td>Department of State</td>
<td>Educational and Cultural Exchange Programs</td>
<td>Paul Simon Scholarship Program</td>
<td>The Paul Simon Scholarship Program encourages non-traditional students, such as low income students and those who attend community college, to spend part of their undergraduate study abroad.</td>
<td><em>Pending Authorization</em></td>
<td></td>
</tr>
</tbody>
</table>

### Financial Services and General Government Appropriations Act

<table>
<thead>
<tr>
<th>Agency</th>
<th>Account</th>
<th>Sub-Account</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY2013 Congressionally-Directed Projects and Special Requests</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small Business Administration (SBA)</td>
<td>Small Business Administration</td>
<td>Not Applicable</td>
<td>The U.S. Small Business Administration (SBA) was created in 1953 as an independent agency of the federal government to aid, counsel, assist and protect the interests of small business concerns, to preserve free competitive enterprise and to maintain and strengthen the overall economy of our nation.</td>
<td>Many of UNC’s technology transfer offices work with small companies that benefit from SBA support.</td>
<td></td>
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</tbody>
</table>

### Multi-Bill/Agency Appropriation Priorities

<table>
<thead>
<tr>
<th>Program</th>
<th>Agency</th>
<th>Description</th>
<th>Examples of Existing Competitively-Awarded Research provided through account</th>
<th>FY2013 Congressionally-Directed Projects and Special Requests</th>
</tr>
</thead>
</table>

Fiscal Year 2013 Federal Appropriations Guide  Page 22 of 23
**Small Business Innovation Research Program (SBIR)**

- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Education
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security
- Department of Transportation
- Environmental Protection Agency
- National Aeronautics and Space Administration

The SBIR program provides qualified small businesses with opportunities to propose innovative ideas that meet specific research and development needs of the federal government. SBIR mandates that federal agencies with more than $100 million in extramural R&D are required to allocate a percentage of their budgets exclusively for small businesses. This set-aside began in 1983 at 0.2% and is currently 2.5% resulting in the availability of approximately $1.6 billion in fiscal year 2001 to R&D small businesses.

The SBIR program provides many funding opportunities for start-up companies that are spun out of university technology transfer.

**Multi-bill/Agency Appropriation Priorities, continued**

**Small Business Technology Transfer Program (STTR)**

- Department of Defense
- Department of Energy
- Department of Health and Human Services
- National Aeronautics and Space Administration
- National Science Foundation

This three-phased program provides the opportunity for qualified small businesses to collaboratively work with non-profit research institutions on R&D projects. Federal agencies with more than $1 billion of extramural R&D must reserve 0.3% of their budgets for R&D small businesses and their partners. This set-aside currently results in the availability of approximately $65 million for fiscal year 2001.

*STTR is similar to SBIR program. Its unique feature is its requirement that the small business work jointly with a non-profit research institution. A minimum of 40% of the work must be performed by the small business and a minimum of 30% by the non-profit research institution. Such institutions include Federally-funded research and development centers (FFRDCs), universities, university affiliated hospitals, and other non-profits.*

**North Carolina Small Business and Technology Development Center (SBTDC) located on the campus of NC State University benefits from SBIR funding.**

**North Carolina Small Business and Technology Development Center (SBTDC) located on the campus of NC State University benefits from STTR funding.**

**Morphormics Inc. (a UNC-Chapel Hill spin-off company that has developed a technology that aids in the treatment of cancer)**

**InnerOptic (a UNC-Chapel Hill spin-off company that has developed a technology that improves minimally invasive surgery)**

**North Carolina Small Business and Technology Development Center (SBTDC) located on the campus of NC State University benefits from STTR funding.**

**All of the UNC campuses are eligible to participate in the STTR program.**
Appalachian State University’s Plan for Training Students in the Responsible Conduct of Research

**Background**
Appalachian State University is committed to the ethical conduct of research and scholarship regardless of discipline or source of research support. The university recognizes that instruction in the ethical conduct of research and scholarship is a vital part of the education of all graduate students and undergraduate students participating in research.

The federal government has enacted legislation emphasizing the importance of instruction in the ethical conduct of research. The America COMPETES Act, signed into law in 2007, contained guidelines requiring that all proposals to the National Science Foundation (NSF) include a plan for “appropriate training and oversight in the responsible and ethical conduct of research” as well as a description of the mentoring activities provided for postdoctoral researchers. Effective January 4, 2010, the NSF requires the authorized organizational representative to certify that the institution has a plan “to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research.” Training plans do not need to be included in submitted proposals, but are subject to review upon request by NSF. Training plans must include a system to verify that training has occurred.

The National Institutes of Health (NIH) also has RCR training requirements for all trainees, fellows, participants, and scholars receiving support through any NIH training, career development award, research education grant, and dissertation research grant. For additional information, consult the NIH Update on the Requirement for Instruction in the Responsible Conduct of Research available at: [http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html](http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html).

1. Scope of Plan
Although training in the responsible conduct of research and scholarship is recommended for all students, our current plan requires training in the responsible conduct of research (RCR) for undergraduates, graduate students and postdoctoral researchers who are supported by the NSF or by NIH training/research education/fellowship or career awards. The term “supported” is defined by ASU as any student/postdoctoral researcher who receives salary support, obtains funding for research expenses, or volunteers his/her time and effort on an NSF or applicable NIH funded project.

2. Certification and Monitoring
All principal investigators (PIs) submitting proposals to the NSF or applicable NIH programs will be notified of the RCR training requirements required by this plan through an RCR training document (Appendix A) provided by staff from Research and Sponsored Programs (ORSP).

When an NSF or NIH project is awarded, staff in ORSP will notify Research Protections. Staff from Research Protections will arrange to meet with the PI within one week of award notification to review the training requirements of this plan. At this meeting, the PI will confirm compliance with this plan by signing an Agreement to Provide and Monitor RCR Training (Appendix B).

After a student completes RCR training, the principal investigator will complete an RCR Training Certification Form (Appendix C) and submit it to Research Protections for record keeping. Staff from Research Protections will conduct semiannual audits to ensure compliance with this plan.
3. Training Content
Although there is no single best way to conduct research or pursue creative activities, several common core instructional areas in RCR have been identified:

- Data Acquisition, Management, Sharing, and Ownership
- Human Subjects
- Animal Subjects
- Conflicts of Interest and Commitment
- Peer Review
- Collaboration
- Publication/Authorship
- Mentorship
- Research Misconduct
- Lab Safety
- Peer Review
- The scientist as a responsible member of society, contemporary ethical issues in biomedical research, and the environmental and societal impacts of scientific research

Faculty PIs have the primary responsibility for ensuring that students participating in their NSF or NIH-funded research complete the required RCR training. ASU’s RCR training will include the following components:

- Each student must successfully complete an RCR course provided online by the Collaborative Institutional Training Initiative (CITI) (www.citiprogram.org). Students can choose either the Biomedical RCR course, Social and Behavioral RCR course, Physical Science RCR course or the Humanities RCR course. These courses provide an introduction to the responsible conduct of research, research misconduct, data management, publication practices and responsible authorship, peer review, responsible mentoring, conflicts of interest and commitment and collaborative research. Completing a CITI RCR course takes approximately 3 hours. Instructions for accessing the training can be found on Appalachian’s RCR website: http://researchprotections.appstate.edu/sites/researchprotections.appstate.edu/files/rcr_citi_training.pdf. After successfully completing a CITI RCR course, a student must print a completion report and submit it to the PI for verification.
- Each participating student must receive experiential training (e.g., facilitated discussion, discipline specific mentoring) on at least three of the core instructional areas (listed above) that are appropriate to the research topic or discipline. The topic of research misconduct must be one of the selected topics. In addition, the topic of human subject research must be a selected topic if human subjects are involved in the research and the topic of animal subjects included if animal use is part of the research.

4. Timing of Training
NSF and NIH-supported students will complete the required RCR training by the last day of classes during the first full semester of their participation in NSF or NIH-supported research.

5. Compliance with the RCR training requirement
The Dean of Research and Graduate Studies is responsible for overseeing compliance with Appalachian’s Plan for Training Students in the Responsible Conduct of Research with support from the Associate Dean of the Graduate School and Research Protections staff. Non-compliance with this plan endangers Appalachian’s ability to receive federal funding.
6. Resources
Research Protections will maintain a list of RCR training resources on Appalachian’s RCR website (http://researchprotections.appstate.edu/conduct), coordinate campus RCR instructional resources and disseminate training opportunities.

7. Approval and Amendments to Plan
The Provost is the responsible official for approving Appalachian State University’s Plan for Training Students in the Responsible Conduct of Research. The Chief Research Officer may amend this plan at any time after consultation with the University Research Council. Any changes to the plan will be sent to faculty with active NSF and NIH awards and will be posted on the RCR website. This plan will be reviewed by the University Research Council annually by November 1 of each year.
Plan for Training Students in the Responsible Conduct of Research (RCR)

Why do we have this training plan?
The NSF requires the authorized organizational representative to certify that the institution has a plan “to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduates, graduate students, and postdoctoral researchers who will be supported by NSF to conduct research.” The NIH also requires RCR training for trainees, fellows, participants, and scholars receiving support through any NIH training, career development award, research education grant, and dissertation research grant.

What training is required?
The PI is responsible for ensuring that students supported by their NSF or NIH-funded research complete the required RCR training. Each supported student must complete:

1. An RCR course provided online by the Collaborative Institutional Training Initiative (CITI), and
2. Experiential training (e.g., facilitated discussion, discipline specific mentoring) on at least 3 of 10 identified instructional areas appropriate to the research topic or discipline. One of the topics must be a discussion of research misconduct, human subject research if human subjects are involved in the research, and animal subjects if animal use is part of the research.

How do we verify that the training has occurred?

1. When an NSF or applicable NIH project is awarded, staff from Research Protections will arrange to meet with the PI within one week of award notification to review the training requirements of this plan. At this meeting, the PI will affirm their responsibility to provide and monitor training by signing an “Agreement to Provide and Monitor RCR Training.”
2. After a student completes RCR training, the principal investigator will complete an RCR Training Certification Form and submit it to Research Protections for record keeping.

Want more information?
A copy of our training plan is on the RCR website: http://researchprotections.appstate.edu/conduct/rcr-policies-guidelines Contact staff in Research Protections (Julie Taubman or Robin Tyndall) for more information.
Appendix B

Agreement to Provide and Monitor Responsible Conduct of Research (RCR) Training

As the principal investigator for the NSF or NIH project, “Title”, (#___) (ASU #_____), I accept responsibility for ensuring that all undergraduate students, graduate students and any postdoctoral researchers supported by this NSF or NIH-funded research project (“the funded project”) complete the required RCR training stipulated in Appalachian State University’s Plan for Training Students in the Responsible Conduct of Research (“the Plan”).

I understand the following:

- The term “supported” is defined as any undergraduate or graduate student/postdoctoral researcher who receives salary support, funding for their research expenses, or volunteers his/her time and effort on the funded project.
- The required training is comprised of the ASU designated online RCR course and experiential training (e.g., facilitated discussion, discipline specific mentoring) that includes at least three of the ten identified instructional areas in the Plan which are appropriate to the research topic or discipline. The topic of research misconduct must be one of the selected topics. In addition, the topic of human subject research must be a selected topic if human subjects are involved in the research and the topic of animal subjects selected if animal use is part of the research.
- Each supported student must complete the required training by the last day of classes during the first full semester of their participation in the funded project.
- After a student completes the required RCR training, I will complete an RCR Training Certification Form and submit it to Research Protections for record keeping.
- Non-compliance with this plan jeopardizes Appalachian’s ability to receive federal funding.

Agreed and Accepted:

_________________________________________________________  ________________
Principal Investigator                     Date

_________________________________________________________
Printed Name

_________________________________________________________  ________________
Research Protections Staff Member            Date

_________________________________________________________
Printed Name
Appendix C
Appalachian State University
Responsible Conduct of Research Training Certification Form

Name of Student or Postdoctoral Researcher:___________________
Dates of Participation in the Research:________________________
PI Name:__________________________________________________
Department:______________________________________________
NSF or NIH Grant Number______________ Title____________________

Provide information below on whether training was provided in the following instructional areas, the method of delivery (e.g., seminar, training by the investigator, etc.), or a reason why training in an instructional area was not provided. Note: research misconduct, human subject research and animal subjects must be covered through experiential component training (e.g., facilitated discussion, discipline specific mentoring) if the topic is relevant to the research project. The following codes may be helpful:

NHSR: Project does not involve Human Subjects.
NAW: Project does not involve Animal Care or Use.
NA: Not applicable to discipline.
CITI: online training by Collaborative Institutional Training Initiative

<table>
<thead>
<tr>
<th>RCR Instructional Area</th>
<th>Method of delivery/reason training not provided</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Acquisition, Management, Sharing, and Ownership</td>
<td>CITI</td>
</tr>
<tr>
<td>Conflict of Interest and Commitment</td>
<td>CITI</td>
</tr>
<tr>
<td>Human Subjects</td>
<td></td>
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<tr>
<td>Animal Subjects</td>
<td></td>
</tr>
<tr>
<td>Research Misconduct</td>
<td>CITI</td>
</tr>
<tr>
<td>Publication Practices and Responsible Authorship</td>
<td>CITI</td>
</tr>
<tr>
<td>Mentor and Trainee Responsibilities</td>
<td>CITI</td>
</tr>
<tr>
<td>Peer Review</td>
<td>CITI</td>
</tr>
<tr>
<td>Collaborative Science</td>
<td>CITI</td>
</tr>
<tr>
<td>Lab Safety</td>
<td></td>
</tr>
<tr>
<td>The Scientist as a Responsible Member of Society</td>
<td></td>
</tr>
</tbody>
</table>

PI Signature:___________________ Student signature:___________________
Printed Name:___________________ Printed Name:___________________
Date:_________________________ Date:_________________________

Please submit a hard copy of your completed and signed form to the Office of Research Protections, Research and Sponsored Programs, 384 John Thomas. If you are certifying a group of students who all received the same training, request a group form from Research Protections. For any additional questions, contact Research Protections: Julie Taubman, taubmanjl@appstate.edu, 262-7981 or Robin Tyndall, tyndallrs@appstate.edu, 262-2692, or consult Appalachian’s RCR website: http://researchprotections.appstate.edu/conduct
Graduate Council & URC / September – October 2012
Report from Dr. Pollyanne Frantz, GRS Director

Initiatives:

- The Grantwriters Education Series, a hands-on interactive series of seven workshops designed to take participants through the proposal development process, began on September 28 with 14 participants from 11 departments.
- Frantz and Amy Love continue to work on the implementation of REACH NC.

Events (date/number of participants):

- “First Fridays: Foreclosure Crisis in Appalachia” featuring Dr. Rosie Tighe from the Department of Geography and Planning (September / 24)
- “How to Write Successful Proposals for NSF CAREER, DoD Young Investigator, and Other Grants for Early Career Researchers” webinar featuring Lucy Deckard of Academic Research Funding Strategies (September / 2)
- “North Carolina Biotechnology Center: Funding your Life Sciences Research” (September / 13).

Other Activities:

- Faculty consultations/meetings:
  - Frantz: 4
  - Love: 5
- Student consultations/meetings:
  - Love: 2
- Limited submission competitions conducted:
  - NC QUEST Cycle XI program
- Frantz is serving as a mentor in the National Organization of Research Development Professionals Mentoring Program
- Frantz and Love attended the UNC-Sponsored Programs and Research Council fall meeting via teleconference (September)
- Frantz attended the installation ceremony for Joseph Bathanti as the new Poet Laureate of North Carolina (September)
• Frantz coordinated National Science Foundation program officer and legislative visits for two faculty members from the Department of Physics and Astronomy.

**Upcoming Events:**

*For a complete listing of events, see [http://orsp.appstate.edu/events/orsp](http://orsp.appstate.edu/events/orsp)*

• First Fridays: Appalachian Culture and Heritage (Oct. 5, Nov. 2)
• How to Write Successful Grants for Instrumentation webinar (Oct. 9)
• Faculty and Graduate Student Research Services Fair (Oct. 19)
• New Faculty & Researcher workshop (Oct. 26).
Items of Note

- Year-to-date submission and award information through the end of September is available on the Web at http://www.orsp.appstate.edu/awards. A summary follows:
  - 46 proposals have been submitted requesting $7,375,592.
    - Proposal submissions are down 21 applications or 21%.
    - Although the number of proposal submissions remains down, the amount of dollars requested show a slight improvement. Nevertheless, dollars requested still lag behind FY 12 by 76%, a $22,960,649 reduction.
    - The 4.5 FTE in Sponsored Programs are currently working with 20 proposals currently moving through the approval process in the AGrants system and another 15 that have been initiated in AGrants but have not yet been submitted for routing. Other contacts have been made for projects that have not been initiated in AGrants at this time.
  - For FY13, 56 awards have been received totaling $3,736,919, which reflects a 21% decrease in the number awards, and a 15% increase in dollars compared to the same period for FY12.
    - Less than half way through the fiscal year, our federal awards are slightly less than the mid-year total for FY 12, while dollar values are a little larger than federal award totals at the mid-year point for FY 12.

- Workshops and training programs for faculty and staff may be found at http://orsp.appstate.edu/events/orsp or by clicking on the even (calendar) icon at the bottom of any ORSP Web page.
  - Sponsored Programs staff will be away from campus for a joint staff retreat with Special Funds Accounting on October 31, 2012.
- Society for Research Administrators, International
  - Charna Howson rotated off the Board of Directors at the Annual meeting in Florida (September 28 – October 4, 2012)
  - She continues to serve the North Carolina Chapter in the role of Past President and serves on the planning committee for the FY2013 annual meeting to be held in Greensboro in March 2013.
- NSF’s Research Productivity and Progress Report (RPPR) pilot is now in full swing.
Appalachian State University is one of 6 institutions in the nation that are engaged in Phase I of the pilot, which began on October 1, 2012.

All NSF reporting is currently on hold as we prepare for the release of the new system and report format.

An announcement was distributed by NSF to current awardees on October 1, and published in the ORSP Blog last week.

Sponsored Programs will follow up with personal e-mails to all NSF awardees as the pilot progresses, offering campus training when the site goes live at the end of October and providing assistance with submissions using the new format and system as needed.

NEW Business

- Remind all NSF funded PIs NOT to submit reports until after October 22, 2012 when the Research.gov system goes live. Deadlines for all reports (pending and overdue) have been extended to March 2013 without penalty to the PIs who may be submitting new awards. Contact Sponsored Programs for more details.
Research Protections Report
Graduate Council and University Research Council
October 2012

Upcoming Presentations/Events

- October 19, Faculty and Graduate Student Research Services Fair
- October 26, New Faculty and Researcher Workshop
- November 2, Guest lecture for Dr. Michael Hambourger’s Chemistry class, Julie Taubman, Responsible Conduct of Research
- November 13 and 16, GRAM Sessions on Responsible Conduct of Research, Julie Taubman

Items of Note

- 83 new requests for initial IRB review have been received as of 10/8/12. This is a record amount of requests for this time in the academic year. In contrast, 73 requests were received by 10/8 last year with a total of 318 review requests during the 2011-12 academic year. As a result of this increase in demand for IRB review, IRB reviews are taking longer to complete.
- UNC-GA provided Appalachian with a test site for an online program to manage animal care and use reviews, as well as a new version of our online program for human subject review requests. As these programs migrate from test versions to usable sites, we will have an opportunity to explore allowing researchers to request IRB and IACUC review online.

Past Events

- Robin Tyndall, Dr. Yang’s COM3938 class, IRB Basics (9/4 12 attendees)
- Julie Taubman co-hosted the Compliance breakout session with John Chinn of East Carolina University at the UNC-Sponsored Programs and Resource Council meeting on 9/17 and co-presented with Charna Howson on 9/18 on coordination between sponsored programs and research compliance for the RAMSeS meeting.
- Robin Tyndall, Navigating the IRB (9/20, 6 attendees)
- Julie Taubman, Dr. Carmichael’s class Responsible Conduct of Research (9/26, 18 attendees)