



DEPARTMENT OF THE NAVY
OFFICE OF THE ACADEMIC DEAN AND PROVOST
UNITED STATES NAVAL ACADEMY
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ACDEANINST 3920.1P
2/ADP

ACADEMIC DEAN AND PROVOST INSTRUCTION 3920.1P

JAN - 4 2018

From: Academic Dean and Provost

Subj: RESEARCH BY NAVAL ACADEMY FACULTY

Ref: (a) USNAINST 4001.2K
(b) ACDEANINST 5370.4D
(c) ACDEANINST 12630.3G
(d) USNA Faculty Handbook
(e) ACDEANINST 12450.1E
(f) ACDEANINST 4001.2
(g) USNAINST 3900.2B
(h) ACDEANINST 3914.1A

Encl: (1) Guidance and Procedures for Faculty Research

1. Purpose. To establish United States Naval Academy (USNA) research policy, guidelines, and application format for USNA faculty.

2. Cancellation. ACDEANINST 3920.1O

3. Policy.

a. Background

(1) The Naval Academy, in its commitment to foster an environment of life-long learning, encourages faculty and midshipmen to pursue state-of-the-art research in all disciplines. To support this aspect of the Naval Academy's educational purpose, faculty are expected to maintain currency in their disciplines, and maintaining disciplinary currency is most often accomplished by active participation in an ongoing research program. While the academy's congressionally appropriated funds form an essential source of funding that partially supports the baseline infrastructure for faculty and midshipman research, reimbursable research funds obtained from external sources play a necessary and substantial role in enabling the Naval Academy to achieve a higher degree of excellence, thereby establishing the academy as one of the leading institutions of undergraduate education in the world. That is, active engagement in research activity provides a margin of excellence that helps to maintain a faculty and associated intellectual environment of the highest quality. The academy has achieved this status by providing an atmosphere of learning where undergraduate research projects seamlessly interact with and enhance faculty research activities, and where faculty research routinely penetrates and supplements the core curriculum and thereby enriches the students' educational experiences. Therefore, it is Naval Academy policy to promote and maintain an environment in which research activities that contribute to the professional and educational growth of both faculty and midshipmen are encouraged and supported.

(2) Funding for faculty research may come from a variety of sources including both internal (from congressionally appropriated funds directed to the academy or from financial gifts to the academy) and

external (from Navy and non-Navy research sponsors) sources. Regardless of the source, the essential purpose for such funding is to enhance the professional development of the faculty and to advance the quality of the education provided to midshipmen. Hence, internal and external funding for research activities is supportive of the mission, but they are not by themselves required by the mission.

(3) Overall accountability for the Naval Academy research program, including the development and implementation of research policy and guidelines, is a duty and responsibility of the Academic Dean and Provost (ADP). The Director of Research and Scholarship (DRS) is responsible for the day-to-day coordination and management of all aspects of the academy's research program as outlined in 5.e., below.

(4) The principal source of research support is through internal and external sponsorship of faculty research projects that may be undertaken during the intersessional period, the academic year, or both. A limited amount of research funding is available via gift funds to the Naval Academy.

b. Naval Academy Research Policy

(1) The pursuit of academic scholarship and research is expected of all civilian and Permanent Military Professor (PMP) Naval Academy faculty. Most of this instruction concerns the funding, execution, and successful completion of research by tenure-track members of the civilian faculty. Nonetheless, PMP faculty members are encouraged to apply for internal and external research opportunities. In addition, PMP faculty members also are encouraged to seek outside sponsorship in support of postdoctoral fellows, laboratory development and/or equipment, curriculum development, etc.

(2) Normally, funding provided by external resource sponsors (e.g., National Science Foundation (NSF), National Institutes of Health (NIH), Office of Naval Research (ONR), Naval Research Laboratory (NRL), etc.) is expected to include full or partial salary (including benefits for all principal and supporting investigators and for any postdoctoral research associates), equipment, supplies, services, travel support, and General and Administrative (G&A) costs necessary to support the administration of the reimbursable project. USNA policy regarding recovery of G&A costs can be found in ACDEANINST 3914.1A. When authorized by the sponsoring agency in the funding document, such funding also may be used to support midshipman research (Trident Scholars, Bowman Scholars, capstone, etc.) associated with the proposed project.

(3) Because of the importance associated with supporting new faculty as they begin their academic careers at the Naval Academy, junior, tenure-track faculty are given the highest priority for funding provided by the ADP. (Refer to paragraph 4.a. below.)

(4) Matching grants, including ONR Matching Grants and USNA Matching Grants, may be offered to full-time, career faculty who are successful in acquiring some external research support. (Refer to paragraph 4.b. of this instruction for additional information.)

4. Definitions, Specific Guidance, and Procedures.

a. Internal research support via Naval Academy Research Council (NARC) Grants. These grants are awarded competitively through Operations and Maintenance, Navy (O&M,N) and gift fund resources available to the ADP. Faculty applications for NARC Grants are reviewed and rated according to the evaluation criteria provided at https://www.usna.edu/AcResearch/_files/documents/NARCEvaluation.pdf by the NARC for consideration and approval by the ADP. Criteria to be used by the Council in creating the priority rating include: the quality of the proposed research project; the quality, quantity, and impact

of the applicant's scholarship to date, including those projects that have been previously funded via NARC Grants; and the role the applicant has personally played in advancing the applicant's area of research and professional recognition beyond the Naval Academy. The application procedure is outlined in paragraph 5 below.

(1) NARC Seed Grants. These grants (referred to as "NARC Seed Grants" throughout this instruction, and previously known as "Junior NARC grants") are available to junior civilian faculty applying for support from the ADP during their first three intersessional periods in a tenure-track status. NARC Seed Grants, generally awarded for the entire eight-week summer intersessional period, are intended to support junior faculty members in research projects conducted during the summer intersessional period as they become established in their field. Notwithstanding the academy's commitment to full summer support during a faculty member's first three years in tenure-track status, funding for a NARC Seed Grant is contingent each year on a positive endorsement by the NARC of a written research project proposal submitted by the junior faculty member. NARC Seed Grants are not available to faculty members who have completed three years of employment at the USNA. Additionally, a condition for acceptance of a NARC Seed Grant is the recipient's commitment to returning to the USNA full-time for the following academic year.

(a) All full-time, untenured tenure-track faculty members are strongly encouraged to seek external research sponsorship as soon as possible in those disciplines where such funding is routinely recognized as being available. Financial support from external sponsors is a clear indication of the maturity and positive peer reception of a faculty member's research program. Success in obtaining external research in disciplines where such funding is available is often favorably considered for promotion and tenure purposes.

(b) The ONR provides the primary support for junior science, technology, engineering and mathematics (STEM) NARC applications. Because these applications are reviewed by cognizant Program Officers (POs) at the ONR with the intent of direct ONR PO support when applicable, the application submission process is typically early in the fall semester. This process is initiated by a call for applications by the DRS in the first month of the academic year.

(2) NARC Senior Grants. These grants (referred to as "NARC Senior Grants" throughout this instruction) are available to full-time, tenure-track civilian faculty who are applying for NARC support, but who are ineligible for NARC Seed Grants by virtue of not being junior faculty members in their first three years at the USNA. NARC Senior Grants are intended to support faculty members in research projects conducted during the summer intersessional period. Every full-time, tenure-track civilian faculty member may apply for intersessional research support through a NARC Senior Grant. In addition, PMP faculty also are eligible for a NARC Senior Grant, equivalent to one "block" of summer (4 weeks) release time with no additional financial support, subject to the positive endorsement of their chain of command and no interference with other assigned responsibilities. Such faculty must:

(a) Have a recent, tangible record of research outcomes, such as conference papers, published articles and monographs, and presentations.

(b) Have a project of significant promise with a reasonable assurance of completion in a timely fashion.

(c) Have a proven scholarly record and demonstrated need for funds to support a defined research project.

NARC Senior Grants are supported through limited resources internal to the Naval Academy and will be awarded after USNA Matching Grants and NARC Seed Grants have been funded. The funding (program total and per project amounts) associated with NARC Senior Grants will be set by the ADP and will be based on available resources and the rating by the NARC of these grant applications. A condition for acceptance of a NARC Grant is the recipient's commitment to returning to the USNA full-time for the following academic year.

(1) External research support via "Matching Grants". Several sources of "matching" research funding are available for faculty who successfully acquire external research support from Navy or non-Navy sponsors. The application procedure for all external support grants is outlined in paragraph 5 below.

a. ONR Matching Grants. These grants are available to full-time, career faculty who have been awarded partial external research support to work in Navy laboratories during the summer intersessional period. Funding provided to the academy by the Chief of Naval Research at the ONR will match 1:1 any salary awarded by the respective Navy laboratory. The total salary from the combined sources may not exceed the full intersessional salary authorized by the Naval Academy for the faculty member. An ONR Matching Grant is not authorized if the external sponsor has made full intersessional salary available to the faculty member. Final approval of an ONR Matching Grant award is by the ADP.

b. USNA Matching Grants. These grants are available to full-time, career faculty who have formally requested full summer intersessional funding from a non-Navy sponsoring agency, but have only been awarded partial summer intersessional salary funding by that agency. USNA matching funds are restricted in use to augment (up to a 1:1 match) the salary portion awarded to the PI by the non-Navy sponsoring agency. The total salary from the combined sources may not exceed the full intersessional salary authorized by the Naval Academy for the faculty member. USNA Matching Grants are subject to the availability of funds, and are not authorized (a) if the faculty member has not attempted to gain full summer intersessional funding from the external sponsor, (b) if the faculty member has not received USNA approval from the ADP for matching funds prior to the submission of the grant, or (c) if the external sponsor in fact has authorized full intersessional salary via the grant award and the faculty member is choosing not to use it for that purpose. Final approval of a USNA Matching Grant award is by the ADP.

c. Other Faculty Development Grants. As other development resources become available, the ADP will notify faculty of these opportunities by separate announcements.

(1) One such resource may be the "Faculty Development Fund" (FDF). Information about the FDF is available in reference (a).

(2) Kinnear Grants. Gift-funded grants, provided by Mr. James Kinnear (USNA Class of 1951) in support of research in the natural sciences, are available each summer on a competitive basis to Naval Academy faculty in the chemistry and physics departments. An annual Academic Dean and Provost Notice (ACDEANNOTE) will be issued during the fall semester to announce eligibility criteria, application procedures, and proposal due dates for the two Kinnear Grants. Recipients of Kinnear Grants are ineligible for NARC Senior Grants in the same summer intersessional period.

d. Specific Guidance and Procedures. Enclosure (1) provides specific guidance and procedures for the implementation of the policy contained in this instruction.

5. Action.

a. Faculty. Funding support for research and scholarly work at the Naval Academy is obtained through faculty submission of proposals to external funding agencies or internally to the academy. When applying to multiple funding sources using the same or similar project proposals, the faculty member is responsible for clearly identifying (in the proposal) that multiple sources of funding are being sought for the same/similar project. Normally, if awarded funding, only one funding source will be applied to a single project.

(1) Externally Funded Research.

(a) General. External funding is officially requested and accepted by the Academy on behalf of a faculty member. When the request is successful, the grant is made to the Naval Academy, not to the individual faculty member. Individual faculty researchers must therefore comply with the sponsor's and with the Academy's regulations and requirements concerning the expenditure of funds, acquisition of matériels and equipment, and reporting of results. All such external research funding must be approved and administered through the DRS.

(b) Faculty Proposals for External Funding. Faculty soliciting external research funding, grants, research awards, or agreements with federal or private sponsors must develop and submit to the DRS an External Research Plan (ERP) and must obtain Naval Academy authorization, via their chain of command, from the DRS prior to submission of the proposal to an external agency. Prior to receipt of funds from external funding agencies, the ERP form also must be approved by the DRS and be filed with the Comptroller Office. Faculty interested in establishing external research collaborations should contact the DRS early in the process to familiarize themselves with the requirements, application formats, documentation, and restrictions associated with the funding being pursued by the faculty member. The template for the ERP is available at <https://www.usna.edu/AcResearch/Forms/index.php>.

(c) Each ERP must include adequate funding details for each aspect of the proposal, including the projected costs for appropriate labor (with benefits); travel; equipment; purchased services; support personnel; supplies; information technology (IT) equipment, maintenance and software; library needs; General and Administrative (G&A) costs consistent with reference (h), and other services within the Naval Academy. This includes but is not limited to support expected from the Technical Support Department (TSD) and the Hydromechanics Laboratory in the Engineering & Weapons Division, from the Information Technology Services Division (ITSD), Nimitz Library, and other USNA resources. All matériel procured in support of a research project is the property of the USNA during and upon the conclusion of the research project.

(d) All externally funded proposals are expected to include funding to cover General and Administrative (G&A) costs/overhead consistent with reference (h). G&A costs are those costs incurred for a common institutional purpose, thus benefitting more than a single research project or activity, and are required to provide administrative/general support for externally funded research projects. These costs (often referred to as "indirect costs") are not readily assignable to a specific research project as they can be attributed to multiple research projects and/or institutional components, but nevertheless these costs are necessary for the general operation of the organization. Examples of G&A/overhead costs include but are not limited to: general and administrative expenses to process grants, awards and funding documents through USNA's Office of Research and Scholarship and the Comptroller, expenses incurred during pre-award legal reviews and the processing of agreements and contracts, and expenses required to

provide general IT support related to reimbursable research. The applicable G&A rates are available annually in reference (h).

(e) Faculty undertaking significant reimbursable research during the academic year may request teaching release time from the ADP via their department chairs and division directors. Normally such course “buy-downs” are not encouraged and the associated requests are unlikely to be supported. Nevertheless, specific guidance for these requests is provided in enclosure (1).

(f) ERPs may be submitted throughout the calendar year. However, requests for ONR Matching Grants and for USNA Matching Grants should reach the DRS by 15 May to receive the highest priority consideration for the upcoming summer intersessional period.

(g) Faculty undertaking reimbursable research with a non-federal partner (such as with an industry or university) must formalize the relationship through the Navy’s Cooperative Research and Development Agreement (NCRADA) process, regardless of the funding aspects of the collaboration. Information concerning the NCRADA process and the required paperwork is available from the Research Office. Individual faculty members may not write or execute their own NCRADAs; all such agreements must have the endorsement of the chain of command and are only valid if approved and signed by the Superintendent.

(h) Faculty undertaking reimbursable research with a federal partner may need to have the relationship formalized via a written Memorandum of Agreement (MOA) or Memorandum of Understanding (MOU). Information concerning the MOA/MOU process and the required paperwork is available from the Research Office. Individual faculty members may not write or execute their own MOAs or MOUs; all such agreements must have the endorsement of the chain of command and are only valid if approved and signed by the ADP.

(i) Faculty undertaking reimbursable research with a federal or a non-federal partner may be requested by the partner to sign a Non-Disclosure Agreement (NDA). USNA faculty should contact the Research Office for guidance on specific NDAs, prior to signing any NDA or NDA-like documents

(j) Faculty members are not authorized to sign any contracts and/or agreements (including software purchase agreements). Questions about research-related agreements should be directed to the Research Office.

(2) Internally Funded Research.

(a) Application Process. NARC Seed and NARC Senior Grant proposals must be submitted in the format defined by the Research Office. The template for internally funded NARC Grant applications is available at <http://www.usna.edu/AcResearch/intresearch.html>.

(b) A NARC Grant proposal must be submitted, prior to the due dates announced by the DRS at the beginning of each AcYr, via the faculty member’s chain of command to the DRS. The DRS, working with the NARC, will review each proposal, its department and division endorsement and rating (an ordered ranking of such proposals is NOT encouraged), and will develop and forward a final rating of all NARC Grant proposals to the ADP. An annual announcement will be issued at the start of the fall semester to delineate the application procedures and due dates for NARC Seed Grant and NARC Senior Grant proposals.

(c) Timeline for the Announcement of NARC Grants. NARC Seed Grant applicants will be notified as soon as practical upon completion of the evaluation, review, rating, and approval process. NARC Senior Grant applicants will be notified as available funds are identified.

(d) Awards of NARC Grants. NARC Seed and Senior Grants are awarded by the ADP, based on the reviews, ratings, and recommendations of the DRS and the NARC and received by the ADP from the DRS. (Refer to paragraph 5.d. of this instruction for additional information about the Council.)

(3) Other Faculty-related Research Issues.

(a) Faculty seeking part-time outside employment, including teaching, consulting, and/or other scholarly work, whether research-related or not, are to be guided by reference (b).

(b) Faculty seeking leave without pay (LWOP) status to pursue temporary, full-time outside employment are to be guided by references (c) and (d).

b. Department Chairs.

(1) Endorsements. Each chair will provide an endorsement on each research proposal submitted by faculty in the department. In preparing the endorsement, the chair must be aware of the dual responsibility to the institution and to the individual faculty member. In the fiduciary role at the Naval Academy, the chair must provide a reasonable assessment of the applicant's ability to successfully undertake the project. In the role as principal mentor to the faculty member, the department chair must assess the proposed project in the context of the applicant's overall career progression at the academy.

(2) Proposal Rating. Each department chair will provide separate qualitative and/or descriptive ratings of all proposals from the chair's department for NARC Seed Grants and NARC Senior Grants. Rankings of proposals are NOT encouraged.

(3) Accountability. Department chairs will ensure that all funded grant applicants in their respective departments meet applicable Academy and sponsoring agency requirements concerning the eligibility of the applicants, and the proposed accountability of funds and outcomes. Requirements concerning special leave provisions, matériel procurements, timekeeping, intellectual property rights, and prior review are described in enclosure (1).

(4) Department chairs are strongly encouraged to establish departmental committees to assist them in these responsibilities.

c. Division Directors.

(1) Division directors will review and endorse applications for NARC Seed and NARC Senior Grants submitted in their respective divisions. The division directors are encouraged to establish division NARC committees to assist them in these responsibilities.

(2) In the execution of NARC Grants, particularly during the summer intersessional period, division directors will support the department chairs and the DRS in their respective accountability oversight roles, as outlined in enclosure (1).

d. Naval Academy Research Council.

(1) Membership. The NARC, functioning as a committee of the Faculty Senate, consists of a representative from each of the academic departments, including one representative from the Leadership, Ethics, and Law Department; and a representative-at-large from the Faculty Senate Academic Affairs Committee. The Faculty Senate nominates faculty to the ADP for review and appointment to the NARC after consultation with each nominee's respective division director and department chair.

(2) Terms of Office. NARC members will serve for three years, and appointment to the NARC is renewable. NARC members are expected to be experienced faculty members with significant ongoing research programs, and service on department and/or division NARC committees is highly desirable.

(3) NARC Co-chairs. The NARC is co-chaired by the DRS and a member of the NARC as assigned by the Faculty Senate and agreed to by the ADP.

(4) Responsibilities. The NARC will:

(a) Review and evaluate all NARC Seed and Senior Grant proposals in accordance with the criteria outlined in paragraph 4.a. above, identifying strengths, weaknesses, and possible future external sponsors in a letter of response to the faculty author.

(b) Review and provide separate evaluation of the NARC Seed and Senior Grant proposals based on substantive criteria consistent with overall academy faculty research policy. These evaluation criteria are provided in <http://www.usna.edu/AcResearch/NARCEvaluation.pdf>. An important factor in the evaluation process for all USNA funded research is the track record of accomplishments of the PI (publications, presentations, deliverable projects, etc.). The absence of tangible artifacts may be viewed as a weakness in a proposal.

(c) In recognition that basic research often has a multiple year timeline, the NARC may entertain multi-year proposals. It is expected that that such proposals have statements of work that clearly describe what has been accomplished in the prior years, and what will be addressed in the future years.

(d) The NARC will maintain detailed minutes of all deliberations and will meet with the ADP as necessary to clarify the rationale for all NARC proposal ratings, funding priorities, and recommendations.

(e) Promote collaboration of all faculty with external sponsors and assist in faculty applications to external sponsors where possible.

e. Director of Research and Scholarship. The DRS serves as the administrator of all research activities at the Naval Academy. The primary duties of the DRS are:

(1) To provide and maintain an environment in which research activities contribute to the professional growth of faculty and to the educational development of the midshipmen.

(2) To support program development, proposal preparation, sponsor identification, project administration, and reporting of research results.

(3) To establish and maintain fiduciary responsibility and oversight for all internal research funding and for all external research funding that comes to the Naval Academy, and to make decisions concerning

a faculty member's requests to execute research funding awarded by the USNA or accepted by the USNA on the director's behalf.

(4) To serve as the ADP's liaison to the Comptroller Department on any and all issues related to research funding and policy.

(5) To ensure the equitable distribution of all NARC research funds, to coordinate and monitor the execution of all external research funding that comes to the Naval Academy, and to maintain cognizance over all reimbursable research funding support and agreements.

(6) To collect and review the NARC Year End Reports submitted by faculty awarded NARC Seed Grants and NARC Senior Grants, and the year-end reports required of faculty awarded research funding by external sponsors. The template for the year-end report will be available at <http://www.usna.edu/AcResearch/ResearchOfficeForms.html>. An annual communication will be issued at the start of the fall semester to announce the due date and submission requirements for the year-end reports, and to provide a link to the current template.

(7) To actively seek support from federal agencies, educational institutions, and industries to provide the necessary support required for the margin of excellence expected for research at the Naval Academy.

(8) To serve as the Naval Academy point of contact for research and technology applications, as well as scientific and technical information.

(9) To oversee and assist the Research Office staff in the preparation of research-related agreements (such as MOUs, MOAs, and NCRADAs), disclosures, patent applications, copyright releases, etc.

(10) To oversee and assist the Research Office staff in the preparation of research-related reports to the Defense Technical Information Center (DTIC), and to ONR, NIH, NSF, etc.

(11) To serve as chair of the Research Excellence Award Committee and the Service Excellence Award Committee, which identify the recipients of the annual faculty Research and Service Excellence Awards, respectively, in accordance with reference (e).

(12) To co-administer the FDF with the Director of Teaching and Learning, in accordance with reference (f).

(13) To serve as a consultant to the Promotion and Tenure Committee in issues related to research and scholarship.

(14) To ensure that any human subject research by USNA faculty, staff, and midshipmen is conducted in accordance with reference (g).



A. T. PHILLIPS

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GUIDANCE AND PROCEDURES FOR FACULTY RESEARCH

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GENERAL

ADMINISTRATION OF REIMBURSABLE FUNDS

United States Naval Academy Instruction (USNAINST) 7820.3 applies for administration of reimbursable funds.

ADMINISTRATION AND ACCOUNTABILITY OF GIFT FUNDS

USNAINST 4001.2K applies for administration and accountability of gift funds.

MATÉRIEL PROCUREMENT IN SUPPORT OF RESEARCH

1. Applicants submitting externally funded proposals that include matériel requirements must identify these expected costs, by category, in the External Research Proposal form accessible via the Research Office webpage. Expense elements include, but are not limited to: travel, equipment, purchased services, support personnel, supplies, information technology (IT) equipment and software, and other materials.

2. Computer/computing IT systems to be procured or upgraded through reimbursable funds must have adequate maintenance support, whether funded by the USNA or by the external sponsor, for the duration of the funded research.

a. The Director, Information Technology Services Division (ITSD), or director's designee, should be consulted as research proposals are being developed by faculty to ascertain, in advance, the extent and sufficiency of proposed IT support should the project be pursued at the USNA. Continued maintenance support beyond the term of the funded project must not be assumed. Requests for such additional maintenance support must be discussed with the DRS and if deemed appropriate, must be proposed to the ADP via the faculty researcher's chain of command and the DRS. A detailed projection of the kind and level of IT support that would be required annually beyond that funded by the research sponsor must be included in the request for additional maintenance support.

b. All IT equipment must be reported to and accounted for by the ITSD. It is the responsibility of the faculty researcher who made the IT purchase to ensure that the tracking, purchase and location information is entered into the ITSD database. This submission of information is accomplished on-line by completing a "Reimbursable IT Receipt Form" available on the Research Office webpage. (One form per item.) Once received, an ITSD employee will contact the faculty researcher for any clarification of information on the form and to schedule a time for an ITSD representative to come to the equipment location to affix a Naval Academy IT barcode. Items should be bar coded within seven calendar days of receipt at the Naval Academy.

c. Once a barcode has been placed on IT equipment by the ITSD, it is the responsibility of the faculty researcher to notify (within seven calendar days) the property inventory manager in the researcher's department of the new acquisition, the item's location, and the assigned barcode.

3. All equipment and matériel property procured using research funds is the property of the USNA during and upon the conclusion of the research project.

a. If the total acquisition cost of the property is \$5000 or above, the property (equipment and matériel) must be reported and accounted for using the Defense Property Accountability System (DPAS). The Naval Academy Comptroller Department is responsible for the maintenance and upkeep of the DPAS database, but it is the responsibility of the faculty researcher who made the purchase to ensure that the tracking, purchase and location information is entered into the DPAS and that the items are bar coded within seven calendar days of receipt to ensure proper accountability and control. The faculty researcher must work with the property inventory manager in the researcher's department to make entries into the DPAS database.

b. Property (equipment and matériel) that is under the \$5000 DPAS threshold but that is considered to be "pilferable" must also be entered into the DPAS database. Faculty should err on the side of inclusion rather than exclusion when assessing if an item should be entered into the DPAS.

c. Questions on research property can be addressed to the Research Office.

4. Faculty researchers and department chairs are accountable for accurate submissions to the DPAS and to the ITSD, and for the accountability, damage, and/or loss of reportable and pilferable USNA property.

5. Purchase card orders in support of faculty research must be consistent with the conditions and work statement of the grant, Navy Cooperative Research and Development Agreement (NCRADA), or funding document. Individual faculty researchers, department chairs, and division directors are responsible for ensuring compliance with this requirement, under the overall cognizance of the DRS, acting on behalf of the Academic Dean and Provost (ADP). Faculty will forward purchase orders via their department purchasing process and the Research Office to ensure that accounting data, items purchased, and account balances are consistent with the overall intent, project scope, and duration of the grant, NCRADA, or funding document. The Research Office will normally process purchase card orders within one working day.

6. During the academic year, the Research Office will prepare monthly reports concerning the status of reimbursable funds by individual account. During the summer intersessional, these reports will be weekly.

LEAVE REQUESTS THAT COINCIDE WITH PERIODS OF FUNDED RESEARCH

1. Faculty members who receive intersessional (mid-June to mid-August) funding support (internal or external) are expected to conduct research associated with the funded project during that intersessional period.

2. For faculty members supported by external funding (including that provided by the Office of Naval Research) during the summer intersessional period including those supported by either partial or full summer intersessional funding, formal requests to use earned annual leave during the summer intersessional period must be submitted, via the faculty member's chain of command to the DRS for approval. Requests to use earned annual leave in excess of ten days during the summer intersessional require additional approval of the ADP. Since use of leave during the summer intersessional may require a "swap" of leave accrued during the normal academic year with reimbursably funded summer intersessional work days, each such leave request requires careful advance planning and approval.

Therefore, each faculty request for leave must be submitted in advance to the DRS, and each request must include:

a. a written justification for the leave request, and a work plan that clearly identifies the work period that will offset the intersessional leave taken and that provides for the completion of all work proposed in the original statement(s) of work associated with the funding;

b. the approval of the department chair and division director;

c. the explicit written concurrence of the research sponsor. (Sponsor approval via an e-mail is acceptable.)

3. Because NARC Senior Grants are intended to provide support to faculty for research conducted during the summer intersessional period, faculty members supported by NARC Senior Grants are not eligible to take scheduled annual leave during their self-identified summer intersessional NARC Senior Grant work period.

4. As requested by the Vice Academic Dean in May of each year, a detailed breakdown of all funded intersessional days (including paid and unpaid leave days) will be provided in the department's summary of summer activity ("script") for each faculty member. Chairs and faculty researchers share accountability in ensuring that all funded work is completed in accordance with the intent of the original statement of work.

REDUCTION IN TEACHING RESPONSIBILITIES TO PURSUE SPONSORED RESEARCH

1. Occasionally, faculty may secure significant funding from an external sponsor for a research project that extends throughout the academic year. In cases where a standard teaching load for the faculty member's department does not permit adequate time and attention to the research project and where the research sponsor explicitly has provided funding to support faculty labor (i.e., salary and fringe benefits) to carry out the research during the academic year, faculty are eligible to request a reduction in teaching responsibilities to conduct the research. Such requests must include a detailed plan, developed with the researcher's department chair, which describes how all affected courses will be taught. Approval for course "buy-downs" using research funding is via the DRS and by the ADP. Normally, such course "buy downs" are not encouraged as they adversely impact the teaching centered mission of the Naval Academy.

2. In the case of a partial "buy-down" of the faculty member's time, the following schedule normally applies, always to include corresponding fringe benefit costs:

a. For a three-credit hour course reduction, twenty-four hours of labor per pay period is charged to the sponsor.

b. For a four-credit hour course reduction, thirty-two hours of labor per pay period charged to the sponsor.

c. For a five credit hour course reduction, forty hours of labor per pay period is charged to the sponsor.

3. In the case of a 100% "buy out" of the faculty member's time, funding from the sponsor must be provided to the USNA to compensate for 100% of the salary and fringe benefit costs of the faculty member.

SUMMER TIMEKEEPING

1. By accepting reimbursable research funds from outside sponsors, the Naval Academy assumes fiduciary responsibility to ensure that the research will be completed in accordance with the terms of the grant approved by the sponsor. Faculty will be paid from reimbursable accounts only for those periods in which they have conducted work for the research sponsor and only for the actual hours applied to the project. Faculty researchers are responsible for submitting signed timesheets for all intersessional periods while in a paid status, and department chairs are accountable for accurate certification of payroll records. Except for pay periods that involve holidays, timesheets should be submitted to department chairs no later than 1200 on the second Wednesday of each pay period. (Submission guidance for pay periods with holidays will be provided by timekeepers.) Electronic submission of timesheets is acceptable.

2. Faculty scheduled to be paid during the summer intersessional period must meet at least one of the following conditions in order for the cognizant department chair to certify the payroll designating that the researcher be paid during a given pay period:

a. The faculty member must have been at work in a Naval Academy office, classroom, laboratory, or other Annapolis Area Complex facility.

b. The faculty member must have been in an approved telework or alternative worksite status conducting off-site research at a location clearly and unambiguously associated with their summer employment and approved by the department chair and the research sponsor. The department timekeeper must retain for reference a copy of the approved telework or alternative worksite definitions applicable to the faculty in the department. Libraries, laboratories, companies, and other such facilities within the Baltimore-Washington corridor generally meet this criterion. Work locations that are outside the Annapolis-Baltimore-Washington commuting area, that are covered by travel orders (including no cost travel orders), and that are clearly and unambiguously related to the faculty member's summer employment also generally meet this criterion.

c. The faculty member must have been in pre-approved annual leave status, in accordance with the leave guidance described previously.

3. Absent meeting one of these conditions, the faculty member will be placed in a leave without pay status.

4. As requested by the Vice Academic Dean in May of each year, department chairs will provide a comprehensive list of the intersessional pay status of each faculty member, including the sponsor and job order number for each day of the intersessional period. Bi-weekly timesheets will be submitted to department chairs from all faculty members who remain in a paid status during the intersessional period. Department chairs will certify the accuracy of the timesheets, will provide one copy to the department timekeeper for entry into the Defense Civilian Payroll System, and will provide one copy to the Vice Academic Dean for review. Staff in the ADP's Office will monitor department timecards for compliance and for conformity with the department's pre-approved intersessional pay status plan.

SPECIAL RESTRICTIONS AND REQUIREMENTS

FULL TIME GRANTS

Within the context of their overall responsibilities as USNA faculty, recipients of full-time grants (whether internally or externally funded) are expected to devote themselves full-time to their proposed research project during the grant period.

TERM OF A GRANT

1. NARC Grants are normally awarded for research terms of one year (one summer intersessional and the subsequent academic year). However, as the research proposal warrants, NARC Grants concerning the same topic area may be awarded for up to three consecutive years.
2. Terms on external grants vary by type and sponsor identity.

EXPIRATION OF FUNDING

1. Internal Research Awards: Funding for internal research awards (NARC Grants, ONR Matching Grants, USNA Matching Grants) will be provided for the summer intersessional only. All funds associated with the research project must be expended by the end of the fiscal year.
2. External Research Awards: Funding for external research awards is provided only for the period of the grant award. All funds associated with the research project should be expended by the award termination date.
3. When the established Period of Performance (PoP) for an external research award extends beyond the end of the federal fiscal year (i.e., 30 September), all unexpended external research project funding will be "rolled over" to the next fiscal year and will be made available to the Principal Investigator (PI) in support of the project. In order to facilitate this "roll-over" of project funding, the PI must submit a written spending plan for the proposed execution (including labor, equipment, travel, materials, etc.) of the remaining funds to the DRS for approval 30 days prior to the end of the fiscal year.

NO-COST EXTENSIONS

1. In the event that an externally funded research project is to extend beyond the end date of the established PoP, the PI for the project must submit to the DRS (1) an explanation as to why the funds were not obligated during the PoP as planned, and (2) a request for a no-cost extension of the PoP. Note that no-cost extensions are issued by granting agencies in three-month increments. The justification for the no-cost extension request must:
 - a. Be supported by a spending plan for the proposed execution (including labor, equipment, travel, materials, etc.) of the remaining funds.

b. Be submitted in writing to the DRS no later than 30 days prior to the expiration date of the original PoP funding document from the external sponsor.

c. Be sufficiently complete to allow for proper review and action on the no-cost extension.

2. No-cost extension requests that are insufficient in detail and justification and/or are not received in a timely manner by the DRS will be returned to the PI as "not approved".

3. No-cost extensions that are approved by the DRS will be forwarded to the appropriate granting agency, and if approved by the agency, the extension will be granted via an amendment to the original funding document. The amendment confirming the exact amount of funds and extending the PoP to a new work completion date must be received and processed at the USNA before any funds can be executed.

4. Appropriate justifications for requesting a no-cost extension may include unforeseen delays in conducting the research, delays in receipt and processing of the original funds by the USNA, updates and revisions to the Statement of Work for the project that require additional time for the research, etc. The PI is responsible for the accuracy of all information presented in the request for a no-cost extension and for demonstrating proper fiduciary responsibility with respect to the execution of all funds associated with the project.

TRAVEL EXPENSES

In addition to faculty salary support, NARC Grants may include requests for essential research-related travel. Such requests, if approved, will normally be funded from departmental or divisional travel budgets. Approved travel will be carried out in accordance with USNAINST 4651.2G.

APPLICATION ELIGIBILITY

Matching grants and NARC Grants are available only to full-time career civilian faculty members who hold appointments at the Naval Academy during the entire grant period.

DUAL COMPENSATION EXCLUSION

Matching and NARC Grants may not be used as a salary supplement by faculty members who are otherwise employed full time by the federal government during the summer intersessional period.

FUNDS LIMITED TO APPROVED PROJECT

Research funds awarded for a project will be used for that project only, and in the manner described in the proposal endorsed by the DRS and approved by the ADP. Requests for major changes in the object, scope or budget of a project will be forwarded via the faculty member's chain of command to the DRS for review and approval.

PRIOR REVIEW REQUIREMENTS

1. Results of funded research in national and foreign policy, weapons systems, military operations, nuclear, chemical, biological, laser and beam weapons technology, communications and computer security may not be openly published or publicly presented by faculty without prior review or written approval by their sponsors or the DRS. Faculty intending research with human or animal subjects must inform the DRS. The DRS will ensure that any human subject research is planned and conducted in accordance with USNA Instruction 3900.2B.
2. For the purposes of this instruction, the phrase “official information”, used below, is limited to any publication or presentation that is directed, tasked, or commissioned by Department of Defense (DoD) leadership, whether internal or external to a DoD educational institution; such publications and presentations are subject to policy or DoD interest review prior to release.
3. The phrase “academic writing” signifies any publication or presentation, including academic papers and materials created in the conduct of teaching or research, which is intended to be made public but is not generated in response to official direction, and does not constitute “official information” for the purposes of this instruction. To ensure a climate of academic freedom, and to encourage free expression and critical thinking, students and faculty members of an academy, college, university, or DoD school are not required to submit academic writing for policy or DoD interest review.
4. All “academic writing” must include a clear statement that the views expressed are those of the author and do not reflect the official policy or position of the DoD or the U.S. Government. The authors of academic writing intended for publication or presentation, regardless of media, must undergo periodic training to ensure that they know how to avoid disclosing classified military information (CMI) or controlled unclassified information (CUI).
5. In addition, “academic writing” that is the result of DoD sponsored funding also must follow the guidelines of the sponsoring agency for pre-publication review and marking.

COPIES OF RESULTING PAPERS, ARTICLES, OR PRESENTATIONS

1. NARC fund recipients will forward a copy of any paper, article, or presentation produced (in full or in part) as a result of NARC support to the DRS and to the Assistant Librarian for Collection Development, Nimitz Library.
2. DoD fund recipients in science and technology will forward two copies of any publication that resulted from DoD supported research to the DRS for the purpose of submission to the Defense Technical Information Center (DTIC).

INTELLECTUAL PROPERTY RIGHTS

1. Faculty or their designees may copyright publications if the works are completely prepared on their own time and using their own facilities.
2. The use of copyrighted material in a research project is permitted within the guidance provided in Academic Dean and Provost Instruction 5870.1A.

3. Faculty members are encouraged to disclose inventions that result from their research. These inventions may ultimately result in patents, awards, licenses, and shared royalties. Information about filing a patent, etc., is available from the Research Office. The USNA will cease paying patent maintenance fees upon the departure, through retirement or resignation, of the faculty member involved.
4. If requested by the DRS, faculty funded in science and technology will complete a Work Unit Information Summary for the Defense Technical Information Center. Background material and format for the summary are available from the Research Office.
5. Faculty undertaking research with a non-federal partner (such as with an industry or university) must formalize the relationship and clarify (to both collaborators) the ownership of the Intellectual Property (IP) developed in the research. This documentation of the collaboration is accomplished via the NCRADA process, and is required - regardless of the funding aspects of the collaboration, prior to the initiation of the research project. Information concerning the NCRADA process and the required paperwork is available from the Research Office.
6. Faculty members are not authorized to sign any contracts and/or agreements (including software purchase agreements) that assign IP rights to a research collaborator, to a publisher, etc. Questions about research-related agreements should be directed to the Research Office.

ACKNOWLEDGMENT OF RESEARCH SUPPORT

1. Any publications or presentations that resulted (in full or in part) from NARC funding must acknowledge this support.
2. Any publications or presentations that resulted (in full or in part) from external funding must acknowledge this support. The proper format and reference citation for the funding is available from the Research Office.
3. Any publications or presentations that resulted (in full or in part) through a collaboration formalized via a NCRADA must acknowledge this support. The NCRADA number must be included in the acknowledgements section of the publication or presentation.

SUBMISSION OF YEAR-END AND ANNUAL REPORTS

1. Each NARC recipient must submit a year-end summary report to the DRS via recipient's department chair and division director.
 - a. This report is due to the DRS NLT 30 November.
 - b. The template for this year-end report is available on the Research Office webpage at <https://www.usna.edu/AcResearch/Forms/index.php>
 - c. After the first NARC Grant, faculty who are submitting a proposal for internal research support must also include the summary report from the last grant.

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2. Annual research reports are required for research projects established with a non-federal partner via a NCRADA. Directions for the report and due dates for submission are defined in Article 6 of the NCRADA for the project. The template for the annual report is available on the Research Office webpage at <https://www.usna.edu/AcResearch/Forms/index.php>