Not Pictured: Cynthia Muhammad.

National Research Administrator Day is observed annually on September 25.

This is a day to recognize the contributions made by administrators every day. Research Administrators and Managers serve an important role in supporting research. They serve the faculty and researchers, protect the institution or organization and assure sound stewardship of sponsored research dollars. Research Administration is found in many types of organizations around the world. It’s in higher education from liberal arts colleges to research universities, health and medical institutions, research institutions, federal and both for-profit and non-profit organizations.

Starting with a small number of individuals in the late 1940s until present day, with thousands of acknowledged professionals world-wide, research administrators and managers provide value and expertise to the global research enterprise.

To Learn More Visit
Dear Faculty Colleagues:

The intention of the Office of the Provost is to continuously and consistently provide access to grant-writing support consultants for all tenured, tenure-earning and term faculty members who are writing applications for external research funding. What have your experiences with these resources been?

We have encouraged faculty members to use these contracted consulting services which include (a) grant-writing training sessions and one-on-one consultations in person or remotely by Dr. Ralph Pollack and (b) application consultation and editing services by Ms. Louise Wides. Have you been able to access these services with ease and are there other means that we can explore to make them more accessible?

To learn more about available grant-writing consulting services offered through the Office of the Provost please see the link: http://www.american.edu/provost/osp/Assistance-with-External-Proposal.cfm

It is our goal to support the research that represents not just our academic collective but also the University as a whole. Your feedback is essential as you and your work is at the heart of this effort. Resources also exist in the Office of Sponsored Programs (OSP) to assist faculty members to locate appropriate finding opportunities. These resources include online search resources to locate funding opportunities (http://www.american.edu/provost/osp/Fund-Opps-online-resources.cfm), as well as tailored search training opportunities (http://www.american.edu/provost/osp/Training.cfm#fun).

If you are a new PI, the link to the OSP monthly newsletter provides current information regarding sample funding opportunities and their varying types. Available resources to assist in the application writing process can be found at (http://www.american.edu/provost/osp/osp-monthly-newsletter.cfm). In addition, the University Library provides a wide range of resources for faculty members to locate information about current research funding opportunities (http://subjectguides.library.american.edu/grants).

The Office of the Provost will fund the Faculty Research Support Grants program once again this year. Complete information regarding this internal funding opportunity including instructions, guidelines and all forms can be found at http://www.american.edu/research/frsg-forms.cfm

To schedule an appointment with Dr. Pollack or Ms. Wides, please contact Anita Brown at abrown@american.edu or x-6333. Questions regarding funding opportunities can be directed to afelder@american.edu or x-3474. Questions regarding the Faculty Research Support Program can be sent directly to me at jtubman@american.edu.

Best regards,

Jonathan Tubman

Vice Provost for Research and Dean of Graduate Studies
Sponsored Research Day at American University
By Akidah Felder, Communications Manager, OSP

Sponsored Research day delivered what it promised. For those in attendance, it was a full day of best practices, insight on maximizing metrics, peer advice and exclusive information on how to become more competitive for external funding (specifically from NEH).

American University offers to its faculty, new faculty and principal investigators (PIs) an abundance of support services and resources. During the full agenda of presentations, the specifics as it relates to those core support services were presented. Questions posed and answered ranged in scope and focus, however, the following were addressed:

- Where can faculty learn how to leverage software such as Eviews, MATLAB, Mathematica, NVivio or Phython?
- Are there training resources for faculty and PIs to learn how to use technology to better present stata for data management, analysis and visualization?
- What core and introductory level training does OSP offer on a “one on one” basis to support new, junior and seasoned PIs as it related to empowering them to find specific research funding opportunities? Can their support staff and teams access those resources?
- How can the Center for Teaching, Research & Learning benefit a faculty member in terms of resources to support innovative research projects and reporting?

During the last annual Sponsored Research Day, attendees expressed an interest in having an information session with a Senior Federal Program Officer. The agency based upon survey results was the National Endowment for the Humanities (NEH). The Office of Sponsored Programs honored that preference and made it a reality. Our keynote speaker, Dr. Claudia Kinkela from the Division of Research delivered a thorough overview of the application process, deadlines, available fellowships, tips for increased success rates and other areas of opportunity.

We would like to also thank our other presenters:

Mr. Eric Charles, Dr. Ralph Pollack, Ms. Louise Wides, Ms. Bethany Loftin, Ms. Bethany Bridgham, our panel of experts (Dr. Maria de Jesus, Dr. Seth Gershenson, Dr. Taryn Morrissey, Dr. Michael Robinson, Dr. David Kerns, Dr. Mark Laubach, Dr. Charles Lewis, Dr. Ed Maguire), Ms. Rachel Borchardt, Ms. Deominic Napoleon and Mr. James Casey.

Newest OSP Staff Member: Mr. Stephen Petix
PRE-AWARD GRANT & CONTRACT MANAGER
Stephen Petix joined OSP in September 2015 as a Grant and Contact Manager focusing on post award functions. Before joining AU’s OSP, Stephen worked over ten years in sponsored research positions in both pre and post award capacities. He spent eight year as a Senior Sponsored Projects Administrator at The George Washington University and two plus years at the Smithsonian Institution as a Grant and Contact Administrator. He holds an MA in Media & Strategic Communication from The George Washington University and a BA in Marketing, from The Catholic University of America.
One hears a lot about science diplomacy today, but I am going to tell you how we define those words at AAAS and try to put science diplomacy in the broader context of U.S. foreign policy. There is hardly an issue that arises in international relations that does not involve some aspect of science and technology (S&T). These issues include international trade, military alliances and positioning, defense postures, pandemic diseases, climate change, communications, natural disasters and subsequent relief and recovery, intellectual property and copyright issues, territorial disputes, natural resources, dam construction, energy, global health, food, clean water, poverty, development, land use, agriculture, education, population, biodiversity, fisheries and other marine resources, forests, transportation, waste disposal, pollution, and counterterrorism. All of these issues have technical dimensions and, in general, diplomats have not been so comfortable dealing with them. But this is changing; embassies of many nations have added S&T units. In addition, every technical agency of the U.S. Government now has an international unit that cooperates with the State Department in dealing with these issues.

The American Association for the Advancement of Science (AAAS) is a non-profit science organization—in fact, the largest general scientific organization in the world with approximately 120,000 members. With 262 affiliated scientific societies we represent approximately ten million scientists. Our board-approved broad mission is “to advance science, engineering and innovation throughout the world for the benefit of all people.” Our motto is “Advancing science, serving society.” We are perhaps best known for the publication of SCIENCE magazine, a weekly science journal, initially started by Thomas Edison, and today recognized as one of the world’s most prestigious journals for publication of important scientific discoveries in any field of science. In addition to major
U.S.-Japan relations. But there are even more dramatic examples of science diplomacy.

**China**

In 1972, I was working as assistant to the President's Science Advisor in the White House Office of Science and Technology. At that time there had been essentially no contacts of any kind (except threats) between the U.S. and China for 23 long and often very tense years. Secretly, President Nixon and Secretary of State Henry Kissinger were planning a trip to China to try to change the dynamics in the relationship. President Nixon wanted to propose science cooperation to the Chinese, because he saw science as something concrete, something tangible—something more than just a shift in geopolitical positioning and U.S. foreign policy. Working in great secrecy, our office managed in a short time to put together 40 specific proposals for cooperative scientific projects in non-sensitive areas that we thought would be possible between the two countries. These proposals were taken to Beijing and were part of discussions with senior Chinese leadership. The result was that at the end of that very famous visit, the official Shanghai Communiqué stated that science would be one of the areas in which cooperation could develop. That cooperation began very slowly with a few cautious visits of scientists in both directions followed by some cooperation with the U.S. National Academy of Sciences.

Then, on January 1, 1979, formal diplomatic relations were established between the U.S. and China; and one month later President Carter and the Chinese leader-Deng Xiao Ping-signed a formal agreement on science and technology cooperation. As a result, exchanges and cooperation became very vigorous. Chinese students, particularly at the graduate level and largely in science and technology, came in large numbers to U.S. universities as pre-doctoral and post-doctoral researchers. And they are still coming today. The total number of Chinese trained in the U.S. in the last 50 years well exceeds one and a half million, many of whom stayed and worked in the U.S.; last year alone there were approximately 120,000. However, today, many of the present students and some of the former students are returning to China as good research opportunities become available there. Furthermore, cooperation between the U.S. and China in science and technology is one of America’s largest international cooperative programs across a very broad range of scientific disciplines. Also, a large number of U.S. corporations have established research facilities in China to take advantage of the availability of trained researchers and to better serve the Chinese market. These massive changes spring from that single visit of President Nixon and the changes in policy 40 years ago. It was America’s most impactful science diplomacy initiative—and, of course, now some people are questioning whether it was a good idea or not. That is not an issue for discussion in this article.

**The Soviet Union and Russia**

The year 1972 was a very big science diplomacy year for the Nixon-Kissinger team. Soon after success in China, they went to the Soviet Union for a summit meeting with Soviet leader Leonid Brezhnev—at a time when the U.S. and USSR were vicious enemies, with huge nuclear arsenals and capable of destroying one another at the touch of a button. The two leaders seemed to get along well with each other and a total of seven science-related agreements were signed during that visit (areas including the environment, health and space). One of those agreements, for which I was responsible, created a U.S.-Soviet Joint Commission on Science and Technology. This agreement provided for regular meetings and cooperation in several specific areas of interest to both countries. Cooperation was not always easy, but things moved along quite well where there were mutual interests (though they were always subject to political developments in either country). When the Soviet Union invaded Afghanistan in 1979, President Carter basically severed all ties and the science agreement languished for some time. I also had left government service in 1973 and joined Texas Instruments. But it is interesting to note that in 1993, after the Soviet Union had collapsed and modern-day Russia emerged, an almost identical cooperative science agreement was signed with the U.S. It was renewed again in 2005 and is still in effect, although U.S.-Russia political relations are still not strong and science cooperation is modest at best. The agreement provides a good framework for cooperation, but it has never been as active or as successful as the science agreement with China. With this history in mind, let us look at what is happening now.

**2000-Present**

On his visit to improve U.S. relations with India in 2000, President Clinton established a new kind of program for increasing science and technology cooperation between the two countries. Funding was provided as an endowment by the two governments, but the program is managed through a non-government organization called the Indo-U.S. Science and Technology Forum. The main secretariat is in Delhi, India with a U.S. support office located at AAAS in Washington. I have been serving as the U.S. co-chair of this Forum for the past 12 years, during which over twelve thousand U.S. and Indian scientists have been involved in our workshops, conferences, joint research centers and scientist exchanges. It is a very nice model for cooperation and I think could be an effective model for other countries if endowment funds were ascertained.

Today, it is well understood that science and technology are essential elements of the economic development process. In Africa the President of Rwanda has been very active in planning for the
science-based sustainable development of his country. In 2007, he was a keynote speaker at the AAAS annual meeting in Boston, describing his commitment to science in development. Recently, AAAS co-sponsored with the Rwanda Ministry of Education a conference of ministers of science and education from six African countries to discuss the role of science in the development of their respective countries. Dr. Romain Murenzi, the former Science Minister of Rwanda, who was the main architect of President Kagame's science-based development plan, spent a year as a AAAS visiting scholar in Washington. Last year, he was appointed the Executive Director of the Academy of Sciences for the Developing World (TWAS), based in Trieste, Italy. In this position he continues to promote the further development of science and technology in Africa.

Iran

Despite the fact that formal relations between Iran and the U.S. are not strong, since 2000 the U.S. National Academy of Sciences has had an agreement with the Iranian Academy of Sciences providing for scientific exchanges and joint workshops. Remarkably, these have been successful. Topics for the workshops, which consist of visits of delegations in both directions (or in third countries such as France or Turkey), have included disease and health issues, earthquakes, ethics in science, water issues, environment, and science policy. Even as sanctions have been levied on Iran by the United Nations Security Council and intensified recently by U.S. and European countries because of their uranium enrichment program, it is still possible (though not easy) for Iranian students to get visas to study in non-sensitive areas of science in the United States. There are some science visits in both directions. A research professor from Harvard just returned from a successful meeting on HIV/AIDS she had organized in Tehran and which laid the basis for further cooperation. Interestingly, the growth of science in Iran is among the most active in the Muslim world and the Iranians have begun to sponsor science diplomacy missions of their own, particularly in other developing or emerging countries. At the same time, the standoff remains over Iran's nuclear program. It remains to be seen if new negotiations—rumored to be held after the U.S. presidential election—can be successful in reaching some agreement that will satisfy both sides. My third and most recent visit to Iran was in June 2012; Nobelist Peter Agre of Johns Hopkins University and I lectured at four universities and were very cordially received. The potential for science cooperation with Iran is great and some exchanges are still being planned, but present political tensions are a major hindrance. American science and technology is highly admired by Iranian scientists and prominent U.S. scientists are welcomed and treated royally. Princeton physics Nobelist Joseph Taylor, who visited Iran in 2007, was at the time measured for a statue. One year later a bronze bust of him was unveiled in front of Iran's largest science park, Pardis. There is great emphasis on science in Iran and the quality of their students is excellent—some of whom do manage to come to the U.S. for post-graduate work.

Cuba

Several visits organized by AAAS have been made to Cuba, where we had a very warm welcome and saw definite interest in cooperation. Cuban scientific work in biotechnology and vaccine development, as well as organic agriculture is considered to be of high quality. We believe there are potentially very good opportunities for cooperation, but present U.S. laws regarding relations with Cuba have so far limited progress. Those laws do permit visits "to discuss research," but it is not easy to engage in joint research or to transfer equipment, materials or money. One day that situation will change.

Myanmar

AAAS representatives have also been pioneers with two major visits to Myanmar (or Burma), the first before liberalization took effect and the second when it was actively underway and the illustrious Aung San Suu Kyi was running (successfully, as it turned out) for a seat in Parliament. We were received warmly on both visits, even effusively on the second, when we visited seven ministries and were exposed to many possible areas of cooperation. There is a chance that USAID will be in a position to fund projects and it is clear that many Americans are interested in closer relations. However, their science and education communities are not strong and it will take considerable effort to develop good projects. Fellowships for professors and students abroad for advanced training would be very desirable. There are good prospects for cooperation in health, environmental protection, and forest conservation. They are interested in most every area of science. There are also some efforts underway in the West to consider establishing new private universities. Education and capacity building are extremely important for the future development of Myanmar.

North Korea

Almost seven years ago AAAS began to explore cooperation with North Korea (Democratic People's Republic of Korea (DPRK)). It took considerable time, but I can now report a successful exchange of visits between a consortium of AAAS and three other U.S. organizations and the DPRK State Academy of Sciences. There have been two formal visits to Pyongyang related to the teaching of English language to scientists of the DPRK Academy. The main U.S. participants were from CRDF Global—a non-profit organization deeply involved in international science cooperation, and Syracuse University. Syracuse also has been involved in a digital library project with Kim Chaek University that has been going on, albeit slowly, for some ten years. AAAS also recently put together, with support from the
Lounsbery Foundation, a very successful seminar on “Restoration of Forests and Landscape” and we presently have from the DPRK a proposal for a second such meeting. The first meeting brought 85 of their scientists together with 14 scientists from outside—including five Americans, one Chinese and the others from several European countries. The DPRK recognizes its major challenges in soil fertility, and restoration of their decimated forests and depleted lands. A book with all slides and texts in both languages of the 28 papers presented at the seminar is available. We were impressed with the frankness of the Korean scientists and the chance for visits to a tree nursery, a collective farm and a beautiful regional mountain park. It is not yet clear how the politics will develop under the new, young Supreme Leader Kim Jong Un and whether relations with South Korea and the U.S. will improve or remain strained.

There is one truly remarkable institution in Pyongyang, the capital of North Korea. It is the Pyongyang University of Science and Technology (PUST). It was built by a Korean-American who had a successful business, and then decided to devote the rest of his life to helping Koreans in China and then later in North Korea. He collected money, largely from the Christian Korean communities around the world, and then built schools and finally a university (YUST) in Yanbian Province in China (also known as the Korean autonomous district of China). When the North Koreans asked if he could do the same in North Korea and gave him land on the edge of Pyongyang, he did. He collected approximately $40 million, and built a 17-building institution which is now in operation. I was there for the dedication in 2009 and then again for the first international conference in 2011. I am told that the university now has 300 undergraduates and 70 graduate students. Seeing a former American astronaut at the international conference lecture in English to the all-male student body was an almost unimaginable experience. All teachers are volunteers from abroad; all instruction is in English; and all students are assigned by the DPRK Government to the school. Graduate students now have access to the Internet. PUST is looking for volunteer teachers and also for increased donations. It is a very interesting institution.

There are three major downsides to cooperation with North Korea. One is that communication is very difficult; there are no direct email or phone links, at least for Americans. One either goes through an intermediate or the DPRK Mission to the U.N. in New York. Hence, detailed planning of a complex project is not simple. Secondly, the foreign cooperator has to pay for everything; there is no cost sharing and goods are not as inexpensive as one might think. Finally, U.S. and other Western export control regulations and some North Korean limitations on imported equipment can greatly complicate or undermine project plans. Again, much will depend on how the overall political situation evolves between the DPRK and the West. One might also expect that good opportunities for cooperation could take place through PLUST, but except for the very interesting international conference at PUST, cooperation through PLUST with other DPRK institutions has not taken place and will not be so simple to arrange.

Conclusion

Science diplomacy is a very important and useful instrument of international scientific engagement and can contribute to a more peaceful world. AAAS intends to continue and expand these activities and would welcome partners in the process. We also believe that only through more scientific cooperation will mankind successfully address the great challenges facing the world today: food, water, health, energy, poverty, development, terrorism, and others. We urge you to follow our online journal Science & Diplomacy www.sciencediplomacy.org and will respond to any questions or suggestions.

Norman P. Neureiter was born in Illinois and grew up near Rochester, New York. He received a B.A. degree in chemistry from the University of Rochester in 1952 and a Ph.D. in organic chemistry from Northwestern University in 1957. He spent a year (1956-67) as a Fulbright Fellow in the Institute of Organic Chemistry at the University of Munich.

In 1957, he joined Humble Oil and Refining (now part of Exxon) in Baytown, Texas as a research chemist, also teaching German and Russian at the University of Houston. On leave from Humble in 1959, he served as a guide at the U.S. National Exhibition in Moscow, subsequently qualifying as an escort interpreter for the Department of State. In 1963, he joined the International Affairs Office of the U.S. National Science Foundation in Washington and managed the newly established U.S.-Japan Cooperative Science Program. Entering the U.S. Foreign Service in 1965, he was named Deputy Scientific Attache in 1967. In 1967, he was transferred to Warsaw as the first U.S. Scientific Attache in Eastern Europe with responsibility for Poland, Hungary and Czechoslovakia.

Dr. Neureiter returned to Washington in 1969 as the Assistant for International Affairs to the President’s Science Advisor in the White House Office of Science and Technology. He left government service in 1973 and joined Texas Instruments (TI), where he held a number of staff and management positions including Manager, East-West Business Development; Manager, TI Europe Division; Vice President, Corporate Staff; and Vice President of TI Asia, resident in Tokyo, from 1980-94.

After retirement from TI in 1996, he worked as a consultant until being appointed in September 2000 asline the first Science and Technology Advisor to the U.S. Secretary of State. Finishing the 3-year assignment in 2003, he was made a Distinguished Presidential Fellow for International Affairs at the U.S. National Academy of Sciences (NAS). In 2004, he joined the American Association for the Advancement of Science (AAAS) to become the first Director of the newly established AAAS Center for Science, Technology and Security Policy (CSTSP), funded with support from the Department of Homeland Security. In October 2009, he stepped down as the Director of CSTSP, but remains as Senior Advisor to both CSTSP and the recently formed AAAS Center for Science Diplomacy (CSD), which seeks to strengthen cooperation with countries where overall relations are strained. To date, the CSD has been involved in initiatives with Cuba, Iran, Myanmar, North Korea, and Syria.

On October 23, 2012, he was awarded the Austrian Cross of Honor in Science and Art 1st Class, in the name of the Austrian Academy and presented by the Austrian Minister of Science and Research at a gala dinner event celebrating the 40th anniversary of the country—thus, an international organization of 20 countries. The mission is to address through systems analytical techniques the major problems facing mankind, such as energy, food, water, population, and climate change.

Dr. Neureiter is a Fellow of the American Association for the Advancement of Science. In 2008, he was elected a Fellow of the American Academy of Arts and Sciences and also was a recipient of the National Academy of Sciences’ Public Welfare Medal, considered the highest honor of that institution. In 2010, he was elected a Fellow of the American Academy of Arts and Sciences and also was a recipient of the National Academy of Sciences’ Public Welfare Medal, considered the highest honor of that institution. In 2010, he was elected a Fellow of the American Academy of Arts and Sciences and also was a recipient of the National Academy of Sciences’ Public Welfare Medal, considered the highest honor of that institution. In 2010, he was elected a Fellow of the American Academy of Arts and Sciences and also was a recipient of the National Academy of Sciences’ Public Welfare Medal, considered the highest honor of that institution.
In August of 2015 (FY 2016), the Office of Sponsored Programs recorded the following grants for American University researchers.

**PI: David Haaga**  
College of Arts and Sciences - Psychology  
**Title:** Looming Vulnerability and Smoking Cessation Attempts  
**Sponsor:** National Institutes of Health  
**Funds:** $321,750.00

**PI: Paul Winters**  
College of Arts and Sciences - Economics,  
**Title:** The Food Insecurity Experience Scale and Regional Correlates of Food Insecurity in Latin America  
**Sponsor:** U.S. Department of Agriculture  
**Funds:** $25,000.00

**PI: Demetrios Poulios**  
College of Arts and Sciences - Physics  
**Title:** Laser, Fiber Optics, and Optical Technology  
**Sponsor:** National Aeronautics and Space Administration  
**Funds:** $50,000.00

**PI: Tessa Telly**  
Office of Campus Life  
**Title:** American University Alcohol Abuse Prevention Initiative  
**Sponsor:** National Collegiate Athletic Association  
**Funds:** $30,000.00

**PI: Mohammed Abu-Nimer**  
School of International Service - International Peace and Conflict Resolution  
**Title:** KAICIID Senior Fellowship 2015  
**Sponsor:** King Abdullah Bin Abdulaziz International Centre for Interreligious and Intercultural Dialogue (KAICIID)  
**Funds:** $83,053.00

**PI: Sharon Weiner**  
School of International Service - Dean's Office  
**Title:** The Political Economy of Fissile Materials  
**Sponsor:** The John D. and Catherine T. MacArthur Foundation  
**Funds:** $138,200.00

**PI: James Goldgeier**  
School of International Service - Dean's Office  
**Title:** Ntrepid Grant Sponsorship  
**Sponsor:** Ntrepid Corporation  
**Funds:** $29,830.00
PI: Miles Kahler
School of International Service - U.S. Foreign Policy
Title: Emerging Economies and Global Governance
Sponsor: Council on Foreign Relations
Funds: $91,080.00

PI: Diane Singerman
School of Public Affairs - Government
Title: Tadamun: The Cairo Urban Solidarity Initiative
Sponsor: Ford Foundation
Funds: $350,000.00

PI: Sean Fili-Flynn
Washington College of Law - Program on Information Justice and Intellectual Property
Title: Participant Support for Global Congress
Sponsor: Institute of International Education
Funding Source: Ford Foundation
Funds: $15,000.00
University Policy: Principal Investigator Eligibility

Policy Category: Research
Subject: Principal Investigator Eligibility on Sponsored Research Projects
Office Responsible for Review of this Policy: Vice Provost for Research
Procedures: As described below
Related University Policies: Cost Share Policy

SCOPE

American University supports and encourages its faculty members and full-time staff in their ambitions to pursue external funding to support their research, scholarship, creative and professional activities. The entrepreneurial activities of university faculty and staff in the pursuit of external funds are critical to the research and scholarly missions of the university. This document establishes the policy that defines the conditions under which members of the faculty and full-time staff of American University are appointed to principal investigator (PI) or co-principal investigator (Co-PI) status on proposals for sponsored research projects.

DEFINITIONS

Career Development Award: One of a many types of awards for faculty members to assist in their establishment and further development as investigators, basic or clinical, in their field of expertise. Common examples include awards from the Faculty Early Career Development (CAREER) Program of the National Science Foundation (NSF) and Career Development (K) Awards from the National Institutes of Health (NIH).

Co-Principal Investigator/Co-Investigator: Key personnel who have responsibilities similar to that of a PI on research projects, but who play a less prominent leadership role in the overall project, and may report to, or be supervised by, the PI. The PI is ultimately responsible for the conduct of a research project, including ensuring that the project is conducted in compliance with applicable laws and regulations and institutional policies governing the conduct of sponsored research. One significant role of a Co-PI or a Co-I is to assist the PI in the preparation, conduct, and administration of an award for a sponsored research project.
**Principal Investigator:** The primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policies governing the conduct of sponsored research.

**Sponsored Research Project:** A sponsored research project is an activity that is externally funded and which includes a formal funding instrument such as a grant, contract, or a cooperative agreement between the university and the sponsor. A sponsored project involves a transaction that includes a specified statement of work and a related, reciprocal transfer of something of value.

**POLICY STATEMENT**

Eligibility to act as a principal investigator (PI) or a co-principal investigator (Co-PI) on a sponsored research project is a privilege that is extended to both faculty members (term, tenure-earning and tenured) and full-time staff members of American University. Appointment to PI or Co-PI status of any member of the university faculty or full-time staff, or another individual who is not a member of the university's faculty or staff, requires specific approvals in the proposal routing and approval process by: (a) the teaching unit chair and the dean of the academic unit to which the individual reports; (b) the University Librarian; (c) the director of a center or institute; or (d) the administrative head of the administrative unit to which the individual reports. In specific cases, the approval of the Vice Provost of Research or Provost is required, as described below.

To ensure that accurate data exist to meet current university requirements for time and effort (T&E) reporting and the tracking of faculty annual assignments, each PI or Co-PI on a sponsored research proposal must have an explicitly stated level of effort, of a minimum of one percent (1%) to establish responsibility for project leadership. The level of effort stated in the sponsored project application should be consistent with the actual effort that each individual is expected to expend on the project during each relevant project period. An exception to the 1% minimum level of effort is made in circumstances where the proposal responds to a particular RFP, solicitation, or other grant guidelines, and said RFP, solicitation, or other grant guidelines mandate that a senior academic or administrative leader (such as the Provost, the Vice Provost for Research, a dean, etc.) must be the PI. This requirement is generally found in grant and research programs with large dollar awards, or where the proposal guidelines call for unique, institution-wide projects.

A person appointed to PI status on a sponsored project must accept all of the responsibilities associated with the application for, and the administration of, the awarded sponsored project. Each PI certifies on every proposal submission that all information in the proposal routing form and the application/proposal is true, complete
and correct. In order to be appointed as a PI on a sponsored project, a researcher must confirm that he or she accepts ultimate responsibility in that role for the scientific conduct of the proposed project, the ethical performance of the proposed project, the protection of the rights and welfare of human or animal subjects, and adherence to any stipulations imposed by the applicable IRB and/or IACUC. In addition, the researcher must confirm that he or she accepts responsibility for compliance with all applicable regulations, laws, and policies of the sponsor and American University, including those governing the use of space, salary verification, cost sharing and the financial oversight of the proposed project.

**Approvals of Appointments by the Chair of a Teaching Unit and the Dean of an Academic Unit, the University Librarian, the Director of a Center or Institute or the Administrative Head of an Administrative Unit**

Appointments to PI status for researchers who are not members of the university faculty or full-time staff are approved on a case-by-case basis, as applicable, by: (a) the teaching unit chair and the dean of the academic unit to which the proposed PI reports; (b) the University Librarian; (c) the director of a center or institute, or (d) the administrative head of the administrative unit to which the proposed PI reports. In cases where the director of a center or institute reports to a dean, both the director and the dean approve the appointment of the PI or Co-PI. In cases where proposals are generated from areas outside an academic unit dean’s jurisdiction, the Vice Provost for Research or the Provost will be responsible for the review and approval of such requests, in addition to the administrative head of the administrative unit. The review of a proposal for a sponsored research project must consider the academic quality of the proposal, the qualifications of the proposed PI, and the relevance and strategic importance of the proposal to other activities of the University. Approved PI or co-PI appointments are in effect for a particular project for a specified project period. Documentation of the approvals of the chair of the teaching unit and the dean of the academic unit, the University Librarian, a director of a center or institute or the head of another administrative unit must accompany proposals submitted to the Office of Sponsored Programs (OSP). Plausible scenarios for appointments to PI status for researchers who are not members of the university faculty or full-time staff include:

1. Management of conferences, exhibits, workshops or public events of short duration.

2. Projects which are part of large research programs, under the following conditions:

   a. The proposed project is a demonstrably important for the success of the larger research program.

   b. There is no member of the university faculty or staff associated with the larger research project who is qualified to take responsibility for the scientific direction of the proposed research project.

   c. For each graduate student participating on the project, a qualified faculty member has been identified to assure that the student's research and associated education are consistent with the degree for which the student is a candidate.
3. Career development awards, when the proposed PI on the project is mentored by an established faculty investigator who is named in the proposal.

4. Pending appointments for new faculty, when the appointment has been approved by the Provost and the project period start date is not prior to the start date of the faculty appointment.

B. Approvals for appointments granted by the Vice Provost for Research or the Provost

Approvals for PI or Co-PI appointment status may be made at the discretion of the Vice Provost for Research or the Provost in rare, non-recurring situations that meet a particular strategic objective for the university. Requests will be considered for specific projects with specific project performance periods. Examples include: proposals submitted by visiting faculty members and situations where a faculty investigator ceases to be available and it is necessary for the proposed PI to oversee an orderly completion and phase out of a project, subject to the approval of the sponsor.

Requests for PI or Co-PI appointments in such unusual circumstances should be made by a university faculty member on behalf of the proposed PI. These requests are subject to the approval of the appropriate (a) teaching unit chair and dean of the academic unit to which the proposed PI reports; (b) the University Librarian; (c) the director of a center or institute; or (d) the administrative head of the administrative unit to which the proposed PI reports; and (e) the Vice Provost for Research or the Provost.

In all cases, the following five criteria must be met:

1. The proposed research must meet a programmatic need of the university, that is, it facilitates the ongoing strategic objectives of the University in an identifiable and direct way.

2. The proposed research cannot be funded and/or conducted effectively unless the proposed individual is the PI or Co-PI.

3. The proposed PI’s or Co-PI’s qualifications to direct the project provides assurance that the work will be conducted in accordance with university policies and procedures.

4. For each graduate student participating on the project, a qualified faculty member has been identified to assure that the student’s research and associated education are consistent with the degree for which the student is a candidate.

5. The proposed project is designed and conducted in such a way that work can be discontinued when the stated programmatic need ends or if the sponsoring faculty member ceases to be available.

A written copy of all such requests for PI or Co-PI appointments, the justification and approvals of the: (a) the chair of the teaching unit and the dean of the academic unit; (b) the University Librarian; (c) the director of a center or institute; or (d) the head administrator of the administrative unit; and (e) the Vice Provost for Research or the Provost must accompany the sponsored project proposal submitted to the Office of Sponsored Programs (OSP) for institutional approval.

VII. EFFECTIVE DATE: October 1, 2015

**Signed by Scott A. Bass, Provost, on September 11, 2015.**
Begun in 1986, the Federal Demonstration Partnership (FDP) is an association comprised of federal agencies, academic research institutions, and research policy organizations whose efforts are directed at streamlining the administration of federally sponsored research.

Working in six year cycles known as phases, FDP member organizations seek to find efficient and effective ways to support research that:

- maximizing resources available for research
- minimizing administrative costs
- and are acceptable to federal agencies

During meetings, the FDP offers its diverse constituencies the opportunity to engage in face-to-face, candid discussions with agency decision-makers responsible for the sponsorship and regulation of research. The FDP members and friends met here in DC between September 2 and 4, 2015 at the Hyatt Regency, Capitol Hill. Phase VI demonstrations focused on ways in which to minimize the administrative burden of:

- The Digital Accountability and Transparency Act of 2014 (DATA Act)
  - Establishes government-wide standards for reporting spending data associated with Federal awards
  - Requires that this data be channeled to a central, public database so that it can be easily accessed and tracked throughout an award’s full lifespan

- The Federal Information Security Management Act (FISMA)
  - Requires each federal agency to implement an agency-wide program to provide information security for the data and systems that support the operations and assets of the agency, including those provided or managed by another agency, contractor, or other source
  - Agencies often pass these requirements off as conditions of grants or contracts

- The Payroll Certification Pilot
  - An effort taken on by four universities that explored ways to streamline effort reporting in the wake of the Uniform Guidance
  - George Mason University was the first institution to have its new procedure audited
  - Widely viewed as a success

To read more about the meeting or access the presentations here.
Funding Opportunities Organized by School/Department

Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a “search funding tool” training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

College of Arts and Sciences

Ministry of Education & Science Technology of South Korea Academy of Korean Studies (AKS)- Korean Studies Promotion Program

The program objectives for the Korean Studies Promotion Programs are (1) enhancement of competitiveness of Korean studies through support and management of relevant research, developing high-quality human resources through provision of support for foreign hubs for Korean studies engaged in Korean studies and relevant scholars, and (3) contribution to the enhancement of national brand value through spread of research results of Korean studies. As one of the Korean Studies Promotion Programs, the Seed Program for Korean Studies provides support for programs related to the introduction of Korean studies to diverse institutions, development of Korean studies projects and establishment of educational environments, for example opening of new lectures; personnel development (education); establishment of relevant centers or institutes, scholarship, establishment of Korean Studies department, etc.

Deadline: April 27, 2016

Japan Foundation - Grant Program for Dispatching Artists and Cultural Specialists

This program is designed to support artists and Japanese culture specialists who participate in cultural events (e.g., performing arts, demonstrations, lectures and workshops) overseas with the aim of introducing Japanese arts and culture or of contributing to international society through arts and cultural projects. Projects should commence on or after April 1, 2015, and must be either: (1) Performing arts (e.g., drama, music, dance, folk arts, etc.); (2) Lectures, workshops and demonstrations related to Japanese culture, including sports.

Deadline: December 1, 2015

United States - Israel Binational Science Foundation (BSF) - Regular Research Grants

The regular research grants program is the main program of the BSF. Submission of regular grant applications is on a split-program basis; that is, the eligibility to submit applications is limited, in alternate years, to either health sciences, life sciences and psychology; or to exact, physical and social sciences. Some interdisciplinary applications may qualify scientifically for submission in either year of the split program.

Deadline: November 13, 2015
Funding Opportunities Organized by School/Department

Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a “search funding tool” training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

Kogod School of Business

Institute of Chartered Accountants of Scotland (ICAS) - Research Funds

ICAS is committed to supporting and encouraging high quality policy relevant research, which is in the public interest, will contribute to the ICAS policy themes and positions, and will have an impact on the accountancy profession or business in an international or UK context.

Deadline: Continuous

Chartered Institute of Management Accountants (CIMA) - Conference and Event Sponsorship

CIMA sponsors academic and practitioner research conferences worldwide. Sponsorship for 2015 is now open. Every year, CIMA’s General Charitable Trust sponsors conferences around the world as a way to engage with the leading academics and support the research being done in management accounting. The sponsor encourages practitioners to attend these conferences as they offer new perspectives on management accounting. CIMA does not offer funding/sponsorship for conference attendance.

Deadline: September 30, 2015

National Science Foundation (NSF) - OFR-NSF Partnership in Support of Research Collaborations in Finance Informatics

NSF and OFR have established a collaboration (hereafter referred to as CIFRAM) to identify and fund a small number of exploratory but potentially transformative CIFRAM research proposals. The collaboration enables OFR to support a broad range of financial research related to OFR’s mission, including research on potential threats to financial stability. It also assists OFR with the goal of promoting and encouraging collaboration between the government, the private sector, and academic institutions interested in furthering financial research and analysis. The collaboration enables the NSF to nurture fundamental CISE research on a variety of topics including algorithms, informatics, knowledge representation, and data analytics needed to advance the current state of the art in financial research and analysis. Topics of interest in CIFRAM include, but are not limited to: Analysis of financial networks; algorithms and methods for measuring threats to financial stability; Representation and standardization of financial data and information; Formal methods for representation and analysis of financial contracts and regulations, e.g., logics, ontologies, and rule-based approaches; Complexity of financial systems and relationships; Technologies for modeling and monitoring financial systems and infrastructure; Visualizations of the financial system and its attendant risks; etc.

Deadline: Continuous
Funding Opportunities Organized by School/Department

Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a “search funding tool” training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

School of Communication

Sloan Foundation, Alfred P. - Digital Information Technology - Scholarly Communication

Grants in the Scholarly Communication sub-program aim to ease this transition by supporting the development of new models of filtering and curating online scholarly materials and by engaging the emerging community of stakeholders and practitioners tackling similar issues in widely divergent disciplinary contexts. The Scholarly Communication sub-program is a sub-program of the Foundation's Digital Information Technology program, which seeks to better our understanding of the relationship between technology, information, and society, primarily through research on and the development of digital information technology for the conduct of scholarly research and public engagement with knowledge.

Deadline: Continuous

Asian Cultural Council (ACC) - Organization Grants

The ACC has a venerable tradition of also funding arts, educational, and cultural organizations for projects of exceptional importance to the fostering of cultural dialogue between Asia and the United States or devoted to regional exchange among the countries of Asia. Since the program resources of the ACC are focused on fellowship awards to individuals, the Council's grants for organizations are generally awarded to support the participation of individual artists, scholars, and specialists from the United States or from Asia in project activities administered by the applicant organization.

Deadline: November 1, 2015

Association for Education in Journalism and Mass Communication (AEJMC) - Paul J. Deutschmann Award for Excellence in Research

The award recognizes a body of significant research over the course of an individual's career. Nomination packets should include a letter describing the ways that the nominee's contributions shaped the mass communication field, focusing on how the nominee has impacted the specific area of his/her research and the broad field of mass communication.

Deadline: December 15, 2015
Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a “search funding tool” training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

School of International Services

Bureau of Educational and Cultural Affairs (ECA) - Special Professional Fellows Program for Southeast Asia

The Professional Fellows Division in the Office of Citizen Exchanges at the U.S. Department of State's Bureau of Educational Affairs (ECA) invites proposal submissions for the FY 2015 Professional Fellows Program (PFP) for Southeast Asia in support of the Young Southeast Asian Leaders Initiative (YSEALI). The Professional Fellows Program is a two-way, global exchange program designed to enhance leadership and professional skills, and build lasting and sustainable partnerships between mid-level emerging leaders from foreign countries and the United States. The defining program activity for foreign participants is a substantive five week U.S.-based fellowship, including an individualized placement in a U.S. workplace, complemented by collaborative programming with American outbound participants in the foreign participant’s home country.

Deadline: January 14, 2016

Sasakawa Peace Foundation (SPF) - Regular Projects

The Sasakawa Peace Foundation (SPF) seeks to contribute to the welfare of humankind and the sound development of the international community, and thus to world peace, by conducting activities fostering international understanding, exchange, and cooperation, as well as efforts to promote these activities.

Deadline: October 31, 2015

Kessler Foundation - Signature Employment Grant Program (SEG)

Kessler Foundation awards Signature Employment Grants yearly to support non-traditional solutions that increase employment outcomes for individuals with disabilities. Signature Employment Grants are awarded nationally to fund new pilot initiatives, demonstration projects or social ventures that lead to the generation of new ideas to solve the high unemployment and under-employment of individuals with disabilities. Preference is given for interventions that overcome specific employment barriers related to long-term dependence on public assistance, advance competitive employment in a cost-effective manner, or launch a social enterprise or individual entrepreneurship project, but are not limited to these ideas. Signature grants are not intended to fund project expansions or bring proven projects to new communities, unless there is a significant scale, scope or replicable component. Innovation lies at the core of all signature employment grants.

Deadline: February 13, 2016
Funding Opportunities Organized by School/Department

Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a "search funding tool" training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

School of Public Affairs

United States Department of Health and Human Services (HHS) - Public Health Impact of the Changing Policy/Legal Environment for Marijuana (R01)

This initiative encourages research on the impact of changing marijuana policies and laws on public health outcomes, including marijuana exposure among children, adolescents, and adults; other licit and illicit drug use; education and professional achievement; social development; risky behaviors (e.g., drugged driving); mental health; HIV, etc.

Deadline: September 7, 2015

United States Department of Justice (DOJ) - Hosting the National Law Enforcement and Corrections Technology Center (NLECTC) System's Small, Rural, Tribal and Border (SRTB) Regional Center

The purpose of the National Institute of Justice (NIJ) Research, Evaluation, and Development Project Grants program is to encourage and support research, development, and evaluation to improve criminal justice policy and practice in the United States. With this solicitation, NIJ seeks proposals to host the Small, Rural, Tribal and Border (SRTB) Regional Center within the National Law Enforcement and Corrections Technology Center (NLECTC) System. The SRTB is currently hosted by the Center for Rural Development, Inc., with funding provided through a cooperative agreement (2009-IJ-CX-K019) awarded by NIJ. NIJ's Science and Technology (S&T) program sponsors research, development, test, and evaluation efforts to improve the safety and effectiveness of the tools and technologies used by criminal justice agencies. Although Federal agencies are part of its constituency, NIJ's primary focus is on the needs of State and local agencies.

Deadline: TBD

White House - Drug Court Training and Technical Assistance Initiative

The purpose of this grant is to: educate, train, and produce materials for law enforcement, criminal justice practitioners, and treatment providers to reduce justice costs, reduce recidivism, improve access to services and service delivery, and reduce disproportionality of punishment in the criminal justice system. The grant recipient shall: Use expert practitioners in the fields engaged in law enforcement, criminal justice systems planning, and drug courts, specifically law enforcement, prosecutors, defense attorneys, judges, probation and parole officers, corrections officials, treatment providers, and criminal justice and public health policymakers.

Deadline: November 17, 2015
Funding Opportunities Organized by School/Department

Note: Please note that these offerings are a sampling of what is available via our search funding tools and serve as examples for you to consider. If you have not attended a “search funding tool” training session, we encourage you to do so. Performing an individualized search, tailored to your unit or specific research interests will provide the most exhaustive means of locating resources. Please contact Afelder@american.edu with any questions related to our search funding tools.

Washington College of Law
United States Agency for International Development (USAID) - Global Labor Program

The Global Labor Program supports USAID’s Democracy, Human Rights and Governance strategy, USAID goals, and U.S. policy priorities. USAID has a strong tradition of supporting international labor programs designed to ... more » foster democratic development and inclusive economic growth around the world. As demonstrated through previous USAID experience, promoting labor rights and strengthening workers’ organizations can be vital to promoting effective democracies and sustainable development. Worker organizations and other groups acting on behalf of worker interests have historically given voice to disenfranchised and vulnerable groups - the very ones often excluded from the political system by other institutions. Women, in particular, have benefitted from having their own representative voice. The Global Labor Program also addresses USAID priorities to counter trafficking in persons and promote development gains for migrants. There are over 230 million migrants in the world, nearly all of whom are in or will enter labor markets. The new program enables a comprehensive approach to migrant labor rights that includes civil society groups and workers themselves.

Deadline: September 24, 2015

State Justice Institute (SJI) - Partner Grants

Partner Grants allow SJI and Federal, State, or local agencies or foundations, trusts, or other private entities to combine financial resources in pursuit of common interests. Partner Grants are intended to support... more » innovative research, demonstration, education, or technical assistance projects with a high probability of national impact. SJI is interested in funding both innovative programs and programs of proven merit that can be replicated in other jurisdictions. SJI is especially interested in funding projects that: 1) formulate new procedures and techniques, or creatively enhance existing procedures and techniques; 2) address aspects of the state judicial systems that are in special need of serious attention; 3) have national significance by developing products, services, and techniques that may be used in other states; and 4) create and disseminate products that effectively transfer the information and ideas developed to relevant audiences in state and local judicial systems, or provide technical assistance to facilitate the adaptation of effective programs and procedures in other state and local jurisdictions.

Deadline: November 1, 2015

University of British Columbia (UBC) - Allard Prize for International Integrity

The Allard Prize for International Integrity is awarded to an individual, movement or organization that has demonstrated exceptional courage and leadership in combating corruption, especially through promoting... more » transparency, accountability and the rule of law. The Allard Prize is administered by the University Of British Columbia Faculty Of Law at Allard Hall. The UBC Faculty of Law has a deep and longstanding history of advancing human rights. Faculty members have been pioneers in articulating and supporting women’s human rights, the rights of First Nations and indigenous communities, and the rights of victims of crime.

Deadline: TBD
Encourage those who are not on the newsletter subscription list to join!
To receive OSP Monthly, please send an email to listserv@listserv.american.edu with the following information in the body:
- Subscribe
- Newsletter-L
- First and Last Name

- Do you have an “OSP Spotlight on Research” interview suggestion?
- Do you need to scheduled a “One on One” refresher session for one of our search funding tool databases? Grant Forward, Pivot COS or The Foundation Directory Online (Professional version)?
- Have you RSVP’d for the Next GAR: October 8th?

If you need assistance with any of the above items, please contact OSP’s Communications Manager, Ms. Akidah Felder via e-mail Afelder@american.edu

What to expect in next month’s OSP Monthly:
- Funding Opportunities
- Export Control Day– November 11th
- Upcoming GAR Dates: December 4th, February 19th & April 15th

Contact Information
Office of Sponsored Programs
202-885-3440
osp@american.edu
www.american.edu/provost/osp/index.cfm