AGRICULTURAL RESEARCH PROGRAM

Evans-Allen Projects

POLICY AND PROCEDURES MANUAL

NORTH CAROLINA AGRICULTURAL AND TECHNICAL STATE UNIVERSITY

SCHOOL OF AGRICULTURE AND ENVIRONMENTAL SCIENCES

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I. INTRODUCTION

The Agricultural Research Program (ARP) is administered by the Cooperative State Research, Education, and Extension Service (USDA/CSREES) of the United States Department of Agriculture (USDA) and managed by North Carolina A&T State University (NCA&TSU) through the School of Agriculture and Environmental Sciences (SAES).

A. Purpose of Manual

The purpose of this manual is to provide guidelines for the management of the Agricultural Research Program supported by Evans-Allen funds. This manual is designed to be a reference source for project coordinators (PCs), principal investigators (PIs), supervisors/managers, research associates, research assistants, technicians and other personnel involved in conducting research supported by Evans-Allen funds.

This manual is updated periodically to reflect changes in university and SAES research administration policies. The manual also will be revised in accordance with changes made by state or federal actions affecting the administration of Evans-Allen funds. The most current version of the manual can be accessed on the Website: http://www.ag.ncat.edu/research/index.htm

Objectives:

The objectives of this reference manual are the following:

1. To increase understanding of the policies and procedures of the Agricultural Research Program.

2. To assist project coordinators and principal investigators with applying the program guidelines as they relate to the administration of their research projects and related activities.

3. To promote uniformity of application of policies and practices by faculty and staff of the Agricultural Research Program.

B. Authority of the Manual

The policies contained herein have been approved and endorsed by the chancellor of the university and are regarded as the official university policy pertaining to the management of Evans-Allen funds for research in the School of Agriculture and Environmental Sciences. The manual is designed to be consistent with the policies and procedures affecting the employment, retention, and dismissal of faculty as set forth in the various policy and procedural manuals governing university employees. The policies and procedures included in this manual became effective October 1, 1982, and have been revised March 1985, May 1991, and March, 2003.
The Agricultural Research Program was created by Congress in the P.L. 95-113 1977 “Farm Bill.” Evans-Allen funds were appropriated in Section 1445 of the legislation that provided permanent funds for the conduct of research in the food and agricultural sciences at the 1890 Institutions, Tuskegee University, and West Virginia University. The Cooperative State Research, Education, and Extension Service (USDA/CSREES), a division of the United States Department of Agriculture, was designated to administer these funds.

The legislation further established that each eligible institution designate a chief administrative officer of the Agricultural Research Program (a research director) to be appointed by the president/chancellor of the institution. The research director is responsible for administering the program in accordance with USDA guidelines and the agricultural research objectives of the respective institution. For details of program management, see the USDA Administrative Manual for the Evans-Allen Program located on the following Web address:  http://www.reeusda.gov/1890/man/1890-toc.htm.

The research director has the primary responsibility for determining the need, priority, and scientific feasibility of the projects proposed. To accomplish this, the research director is responsible for developing a procedure, subject to USDA/CSREES approval, for project documentation, merit review, and selection. This procedure will assure that the research project proposals are scientifically sound, relevant to society's agricultural and food needs, and not duplicative of efforts undertaken elsewhere.

Eligibility for funding is contingent on an institution having an approved set of projects consistent with the guidelines set by Section 1445. Funding for projects must be approved by USDA. Funding is allocated annually on a federal fiscal year basis.

C. Land Grant Mission

As a land-grant university, North Carolina Agriculture and Technical State University uses its academic skills and resources to improve the sustainability and welfare of individuals, families, communities and businesses involved with North Carolina agriculture. The School of Agriculture and Environmental Sciences (SAES) was established to achieve this mission through three primary functions: (1) academic instruction, (2) cooperative extension, and (3) research. Each of these functions represents a major commitment on the part of the University to modernize the agricultural workforce, improve the efficiency and productivity of farm operations, and provide solutions to agriculture problems.

D. Mission/Goals of the Agricultural Research Program

Mission

The mission of the Agricultural Research Program in the School of Agriculture and Environmental Sciences involves the following: (1) to identify, to seek solutions and to have impact on current and emerging agricultural issues at the local, state, national and
international levels, including the improvement of agricultural methods and products and the improvement of the lives and communities, especially of rural under-served and under-represented groups; (2) to provide experiential learning opportunities for graduate and undergraduate students in the food, agricultural and environmental sciences; and (3) to articulate the meaning of science and technology in agriculture.

**Goals**

The Agricultural Research Program (ARP) has three major goals that guide its decisions concerning selection of funded activities and utilization of resources.

**Goal 1:** Find solutions for current and emerging agricultural issues.

*Six Program Initiatives.* The ARP in tandem with SAES has identified six program initiatives that are focusing our faculty expertise and other resources for obtaining practical and effective solutions to the agricultural issues and concerns: (1) Human and Community Development, (2) Biotechnology and Biodiversity, (3) Soil and Water Quality, (4) Agromedicine, Nutrition and Food Safety, (5) Small Scale Agriculture, and (6) International Trade and Development. All SAES faculty and Cooperative Extension specialists serve on one or more of the interdisciplinary teams organized for the six program initiatives. A listing of the teams and more information on these six program initiatives appear on the website: [http://www.ag.ncat.edu/research/initiatives/default.htm](http://www.ag.ncat.edu/research/initiatives/default.htm).

**Goal 2:** Develop capacity to address effectively current and emerging agricultural issues.

To effectively address current and emerging agricultural issues, the ARP primarily uses its resources to support the development of any of the six program initiative areas identified in Goal 1. This is accomplished through providing faculty developmental support and resources, and by supporting the development of beginning researchers through mentoring by department chairs or other senior faculty. The ARP supports individual faculty, departmental and SAES program development by directing the use of Evans-Allen funding to develop lines of research and “track records” of publishing and measurable scientific and practical impact. Through this approach, the ARP uses Evans-Allen funds to not only implement a research program that addresses agricultural issues but also one that increases the capacity to continue and expand promising research initiatives. Evans-Allen funds are expected to be used for seed and development projects leading to successful funding from sources other than Evans-Allen funds.

**Collaboration.** Comprehensive and sustainable solutions to current and emerging agricultural issues can be achieved through collaborative relationships and partnerships. Faculty members are expected to collaborate with colleagues in their department, with faculty in other SAES departments and with colleagues across campus. In addition, research projects should involve the participation of staff from
Cooperative Extension. Finally, partnerships with industry and agencies are essential for assuring application and use of completed research, so involvement with these entities is strongly encouraged.

**Goal 3: Develop expertise and promote interest in current and emerging agricultural issues among faculty, staff, and students.**

The ARP offers faculty development opportunities through on-going training and opportunities to improve research skills and expertise. Faculty research forums are held to promulgate interest among faculty, staff and students in current and emerging agricultural issues. These activities and opportunities also are designed to provide experiential learning opportunities for graduate and undergraduate students in the food, agricultural and environmental sciences. All ARP funded projects include paid or volunteer opportunities for students to be involved as research assistants.

**National USDA Goals:**

USDA identifies problem areas for research on a national basis. The goals are listed on the Website: [http://www.escop.msstate.edu/pow1998/sld001.htm](http://www.escop.msstate.edu/pow1998/sld001.htm). The goals and six major program initiatives of NC A&T State University in the Agricultural Research Program are in alignment with these national USDA goals. These national goals are organized into programs based on the needs of the state and nation. Projects are identified under the annual program of work for the School of Agriculture as approved by CSRS and are the funding instruments for the campus research.

**E. Implementation of the Agricultural Research Program**

The research director for Evans-Allen funds at North Carolina A&T State University is the dean of the School of Agriculture and Environmental Sciences. The dean is assisted with the administrative responsibilities of the program by the (SAES) associate dean for research. The Agricultural Research Program is administered through the Office of Agricultural Research.

The department chairperson of a given department is the project coordinator (PC) for all research conducted in that department. Individual faculty serve as the principal investigators (PIs and co-PIs) of the research conducted under the program. PIs have the responsibility of supervising one or more projects, and monitoring all fiscal and program aspects of the same. Specific responsibilities for all project personnel appears in the section entitled “Responsibilities of Personnel.”

Annually, the ARP submits a Plan of Work to USDA/CSREES. This plan of work lists the projects that the ARP plans to fund during the coming year. For funds to be allocated to a project, the project proposal must be reviewed and approved by USDA/CSREES. After receiving written approval for a specific proposal, the university is permitted to allocate resources to the project. It is noted that not all projects approved by CSREES are funded.
Allocation of funds is done at the discretion of the associate dean for research and the research director/dean.

F. Organizational Structure of Office of Agricultural Research (see Appendix A)

Figure 1 shows the organizational structure of the Office of Agricultural Research. Staff members assist in the management of the Office of Agricultural Research in the following areas: location of funding sources, editing and reviewing proposals, handling monetary issues and fiscal management, office management, and general assistance with all phases of the research proposal writing process.

G. Liaison with Division of Research Administration

The Office of Agricultural Research and the Division of Research work closely to locate appropriate funding sources, to seek partnerships on and off campus, to assure proper budgeting procedures, to provide grant writing training and support, and to seek adequate resources for research at the university and in the School of Agriculture and Environmental Sciences.

H. Procedure for Project Merit Review and Selection

Each participating Evans-Allen institution is responsible for conducting a merit review of sponsored projects. These reviews cover the following:

- Insure completeness of project proposal (all items in Appendix B should be included).
- Evaluate relevance of the proposed research.
- Evaluate quality and scientific value of the proposed research.
- Consider opportunities for cooperation with other individuals or units.
- Provide opportunity for the project leader to interact with reviewers and make adjustments as appropriate.
- Provide USDA/CSREES with an indication, project by project, that the process was followed.

II. STEPS IN DEVELOPING AN EVANS-ALLEN RESEARCH PROPOSAL

In order for a proposal be accepted and forwarded for consideration for approval by USDA/CSREES, the applying researcher (PI) or team of researchers must complete the following:
A. Secure Initial Proposal Approval

A faculty member interested in submitting a research proposal should do the following:

- Consult with the department head and the Associate Dean for Research to determine if the project falls within the scope and objectives of the Agricultural Research Program of the School of Agriculture and Environmental Sciences.
- Identify the existing or needed human and physical resources for the implementation of the project.
- Determine that the proposed project can be successfully completed within the financial and other resources available.

B. Prepare Proposal According to Guidelines

A written proposal needs to address all proposal submission guidelines required for Evans-Allen funded projects. A listing of the required sections and information pertaining to what needs to be addressed in each section can be found in Appendix B. Also, a template for the proposal and the budget appear online at http://www.ag.ncat.edu/research/forms. The guidelines include details for the following required components:

- Title
- Justification/Impact
- Previous Work and Present Outlook
- Objectives
- Procedure
- Probable Duration
- Financial Support
- Personnel
- Institutional Units Involved
- Cooperation

C. Conduct Peer Review

Before submitting a completed proposal to Office of Agricultural Research, the proposal must be reviewed using the following procedure:

( use bullets instead of $ dollar signs below)

- The proposal must be reviewed by the five reviewers: (1) the department chairperson, (2) two department members and (3) two persons outside the department knowledgeable in or familiar with the area of research. In the event that the department chair is included in the proposal, another department chair will serve as a reviewer.
The principal investigator may recommend reviewers to the department chairperson who will make the selection of the reviewers. If the department chair is included in the proposal, the associate dean for research will select the reviewers.

Each reviewer must provide written appraisal and comments, which may be used in revising and improving the proposal. The review form to be completed by each reviewer appears in Appendix C and online at http://www.ag.ncat.edu/research/forms.

The principal investigator must respond to all substantive review comments and provide to the department chairperson and Associate Dean for Research copies of the reviews and responses to all substantive recommendations for revision. The PI is responsible for incorporating suggestions made by reviewers, but must give reasons for any substantive suggestions not included or addressed.

The department chairperson is responsible for reviewing any revisions of the proposal and for approving its transmission to the Office of Agricultural Research. A checklist the department chair uses to evaluate the proposal appears in Appendix D. A list of the reviewers and their comments also should be submitted to the Office of Agricultural Research.

The proposal is then reviewed by the associate dean for research who will determine if additional review and substantive revision is necessary. Upon acceptance by the associate dean the proposal is submitted for budgetary review by the Office of Research and then transmittal to USDA/CSREES for approval review.

D. Complete Required Forms

USDA/CSREES Forms. Samples of all forms required for proper submission of Evans-Allen proposals are found on the Internet at the following web address: http://www.ag.ncat.edu/research/forms.

Institutional Review Forms. Separate forms from the campus Division of Research that may be necessary to complete are forms dealing with human subjects, animal research, or recombinant DNA. These forms must be submitted to the Division of Research and reviewed before the proposals can be sent to Washington for project approval.

Internal Forms (AG-01 through AG-06). An internal set of forms must be completed and accompany the proposal when submitted to the Office of Agricultural Research. The forms assure that resources requested are available and approved for use in the study. Forms are available in the
Appendix E and on the following web address:

III. PROCESS FOR APPROVAL OF EVANS-ALLEN PROPOSAL

A. Submission to USDA/CSREES

After review and approval through the Office of Agricultural Research, the proposal is sent to USDA/CSREES for approval. CSREES approval is based on the scientific merit and the agricultural aspects; the budget is not reviewed by USDA/CSREES. It is noted that approval of the project from Washington does not mean that the project will be funded at the university. Decisions on local funding and the level of funding are made at the university. The proposal title must be added to the annual Plan of Work submitted by the Office of Research to Washington before it is reviewed by USDA/CSREES.

B. Agricultural Research Program Project Funding and Budgeting Decision-Making

After notification that a project is approved by USDA/CSREES, an internal budget process is conducted to determine allocation of approved funds. The decision for funding and the level of funding for the amount of requested funding of a particular project is based on availability of funds and is a joint decision of the department chair, the research director and the associate dean for research.

C. Award Letter and Budget Allocation

The principal investigator and the department chairperson are notified by letter by the associate dean for research of acceptance of a proposal and the project dates. Principal investigators of approved projects are expected to respond within 30 days of notification of their award that they accept the terms of the funding and will proceed to implement their project by the start date identified in the notification of award letter. In some instances, a revised scope of work may be required if funding is not sufficient to meet the original project objectives.

IV. FORMS REQUIRED RELATED TO FUNDING

A. Prior to Funding

Form AD416

This form is better known as the Project Resume. Information required for this form includes:

- Project identification
- Performing organization
- Principal investigator/co-investigators
- Funding type
• Contract/grant/cooperative agreement information
• Title
• Integrated activity
• Objectives
• Approach
• Keywords
• Start date and estimated termination date
• Non-technical description of the situation or problem the project addresses
• Project contact
• Other participating states

Data for the AD416 Form are submitted to the office of Agricultural Research by the PI electronically in lieu of the printed form. Sample documents can be generated from the USDA/CSREES/CRIS Forms website at: http://cwf.uvm.edu/cris/forms.htm.

Form AD417

The purpose of this form is to provide a research classification as well as other information about a project for use by USDA for budget planning and program funding decisions. This form is submitted at a project's inception or revision. The research classification is used to retrieve and select projects for inclusion in various reports and inventories. The classification is also used for on-line searching by researchers around the world. The classification scheme is a multi-dimensional system of codes and is explained in the CRIS "Manual of Classification of Agricultural and Forestry Research". It can be found at the CRIS Forms website at: http://cwf.uvm.edu/cris/crisfrms.htm#417. A project will not be included in the correct reports and inventories if the appropriate classification codes have not been assigned.

USDA/CSREES Assurance Statement Form

The purpose of the Assurance Statement form is to provide assurance that all investigators on a project have the necessary institutional review board clearance with respect to safeguarding the rights and welfare of human and animal subjects used in investigations. If animal subject, human subjects, or recombinant DNA are involved, the appropriate institutional review process must be completed before the project can be submitted to USDA/CSREES.

If human subjects are involved, all personnel involved with the project must complete the Human Subjects Certification on line through the campus Division of Research. Guidelines can be found at: http://cwf.uvm.edu/cris/crisfrms.htm#assurance. Assurance Statements forms are submitted at a project's inception or revision. A form must be completed for each investigator named on a project.

Internal Processing Forms
An internal set of forms must be completed and accompany the proposal when submitted to the Office of Agricultural Research. The purpose of the forms is to assure that university resources are available as requested on the project. All required signatures must be obtained before the forms are submitted. The Internal Processing forms include:

- AG-01 Collaboration with Cooperative Extension and Others
- AG-02 Intent to Use A&T Farm Land, Facilities, Livestock, Personnel
- AG-03 Involvement of Human Subjects
- AG-04 Intent to Use Laboratory and Equipment
- AG-05 Personnel Requirements
- AG-06 Communication Items
- AG-07 Appropriateness of Budget to Objectives/Available Funds

Forms are available in the Appendix E and on the following web address:

B. During Project Implementation and Upon Termination

Form AD421

Project progress reports. Once a project has been approved and funded, the principal investigator is required by USDA to submit (electronically) an annual progress report, Form AD421. This form is submitted annually to report progress during the life of a project. This report is due in the Office of Agricultural Research at the end of the calendar year. This report is required regardless of the type of grant from USDA.

Project termination reports. Form AD421 also is used for submission of a termination report. Termination reports are to be completed within 90 days of the project's termination.

The information from these reports is entered into the USDA/CSREES technical database, which is available for searching on-line.

Form AD419

The purpose of this form is to provide grant expenditure amounts for the Federal fiscal year (October 1 - September 30). This form is completed by the Office of Research for Evans-Allen projects; however, this report form is required regardless of the type of grant from USDA. For assistance in completing this form for non Evans-Allen projects, please contact the Office of Agricultural Research.

V. RESPONSIBILITIES OF PERSONNEL

A. Department Chairperson/Project Coordinator (PC)
A department chairperson’s role is one of leadership, guidance and coordination of all research in the department. The head of a department should be familiar with the objectives of a research project, monitor project staffing, and be involved in the evaluation of achievement of those objectives. These responsibilities include:

1. Approval of submission of proposals by departmental faculty and staff for funding through the Evans-Allen program.

2. Review and approval of project expenditures for purchases, travel and other goods or services.

3. Recommendation for approval or disapproval in the hiring of project personnel in accordance with University personnel policies.

4. Approval of emergency expenditures on behalf of the principal investigator.

5. Participation in performance evaluation of all departmental A&T faculty and staff.

6. Assurance of correct and timely submission of all research administrative documents.

7. Participation in the evaluation of achievement of project objectives.

8. Evaluation of annual progress reports to ensure they meet acceptable standards.

B. Principal Investigator (Scientist)(PI)

The principal investigator should hold a terminal degree or equivalent and preferably should be an experienced researcher. Some combination of training and experience is acceptable.

The principal investigator (PI):

1. Coordinates the research project with the project coordinator.

2. Consults with the project coordinator to identify:
   a. Space required for conducting the research.
   b. Technicians and other personnel to be recruited for the project.
   c. Necessary support services.
   d. Existing equipment, if any, that can be shared or used for the project.
   e. Other goods and services that may be required for the project.
3. Initiates the expenditure of approved funds.

4. Maintains up-to-date knowledge of the budget.

5. Insures that funds are spent within the allotted timeframe and for approved purchases only.

6. Develops and implements changes as needed in project operations to facilitate the progress of the research program.

7. Meets all reporting requirements of the Office of Agricultural Research, university administration and USDA/USDA/CSREES.

8. Maintains a current inventory of all equipment.

9. Uses project funds in accordance with State and Federal “Use of Funds” regulations.

10. Follows state contractual arrangements in making purchases.

11. Promotes the research project and the university through:

   o Presentations at conferences and meetings of local, regional, national and international scientific organizations.

   o Publishing of scientific articles and papers, singly or co-authored in refereed scientific journals or recognized trade publications and in the research publications of the Office Agricultural Research.

   o Assist in motivating students associated with the project to develop scientific careers in agriculture and food areas.

12. Ensures that all project personnel have necessary human subjects/animal use certifications.

13. Provides documentation for an annual review of the research study.

C. Co-Principal Investigator

A co-principal investigator should hold a terminal degree or equivalent and should preferably be an apprenticed researcher.

A Co-principal investigator (Co-PI):

1. Works cooperatively with the PI to implement the research project objectives and activities.
2. Provides leadership on specific tasks or goals critical to the completion of the project.

3. Provides supervision to designated staff and students involved in the project.

4. Performs the duties and functions of the PI when the PI is not able to do so.

D. Research Associate

A research associate may hold a Masters or terminal degree or have an acceptable combination of training and experience and show sufficient research capability in the particular field. Appointment may be full or part-time with a concurrent faculty appointment. A part-time and concurrent faculty appointment cannot be more than a full-time equivalent as prescribed by the university.

A Research Associate:

1. Reports directly to the principal investigator or designated co-principal investigators and is responsible for completing project work as assigned by the supervising PI or Co-PI.

2. Is responsible for the day-to-day management of the research project and for establishing and maintaining an accurate reporting system as directed by the principal investigator.

3. Carries out any other duties relating to the planned implementation of the project he/she may be asked to perform from time to time by the principal investigator or co-principal investigators.

E. Research Assistant

A research assistant may hold the bachelor or masters degree or equivalent in his/her discipline area and may be an outstanding graduate student who is teaching as a part of his/her apprenticeship.

A research assistant:

1. Reports to the principal investigator or his/her designee.

2. Performs project related tasks and activities as directed by the PI or Co-PI.

3. May supervise undergraduate students involved in the project as directed by the PI or Co-PI.

F. Support Staff

This position requires clerical and computer skills and involves a considerable amount of
public contact ranging from students and faculty to off-campus visitors. A graduate of a
two-year college with a major in secretarial science, experience that will ensure a high
level of performance in the duties and responsibilities described below is preferred.

Administrative Support:

1. Reports directly to the project coordinator or his/her designee

2. Handles correspondence related to research projects – filing and routing mail.

3. Assists with the paperwork associated with the administration of the research
projects and preparation of proposals (e.g. purchase requests, travel request,
payroll authorization).

4. Maintains a working knowledge of academic and university policies.

5. Assists with monitoring the funding levels and procedures related to project
implementation.

6. Handles student payroll information and assists with student supervision as
directed by the department chair.

G. Other Personnel

This category includes individuals who are responsible for supporting the day-to-day
operations of the laboratories or farm. This includes undergraduate students.

These individuals:

1. Report to the supervisor designated by the principal investigator.

2. Performs project related tasks and activities as directed by his/her project
supervisor

VI. PROJECT MONITORING AND REPORTING

A. Project Monitoring and Project Plan Modification

The project coordinator is responsible for monitoring the implementation,
administration, and operation of a project in accordance with the plan presented in the
project proposal. If a project’s plan requires significant modification such as a change
in objectives or an exclusion of an objective, this action needs to be approved by the
project coordinator and communicated to the ARP office for approval. Major changes
in budget allocations and changes in personnel also must be approved by the project
coordinator and reported on a timely basis to the ARP office. The principal
investigator with project coordinator review is responsible for submitting an annual
achievement to the ARP office (see Annual Project Review and Evaluation section below).

B. Annual Project Review and Evaluation

All funded Evans-Allen projects are to be reviewed annually to determine achievement of goals and objectives. These reviews are to be conducted at the end of the academic year to provide an assessment of progress or if a project is ending, as a termination review. The purpose of these reviews is to determine if the project has been implemented, administered, and operated in accordance with the plan presented in the project proposal. The review also covers evaluation of reported achievements and impacts and other aspects of the study including barriers to successful completion. The ultimate goal of the review process is to strengthen the research program, provide an opportunity for professional growth, and to provide support to the researchers.

Each PI completes a form that appears in Appendix F and online at http://www.ag.ncat.edu/research/forms. The completed form is submitted to the project coordinator.

The following list includes key points to be addressed in the Annual Project Review report:

- Progress on each stated objective including reasons for non-implementation of specific objectives.
- Project conclusions (or preliminary results if project ongoing).
- Impact of project activities, findings, outcomes.
- Dissemination efforts of project activities, findings, outcomes.
- Listing of collaboration activities – who, what was involved, what was achieved.
- Efforts to secure new funding (if applicable).
- Student mentoring and research experience – describe what students have had the opportunity to learn and do as a result of their participation in the project.
- Capacity building – describe any impact the project has had in terms of the department, school, or university being in an improved position to attract funding and other resources, in training (or being able to train) faculty and students in techniques and skills in demand by the field, and/or have equipment or other resources to conduct research or technical applications on issues affecting the agricultural community.
• Administration of project—including fiscal management, personnel management, timely submission of reports, and other aspects of management.

Progress and project termination reviews are to be made based on completion of the Annual Project Review Evaluation Form Report Form and other applicable material (e.g., reports, presentations, manuscripts) provided by the principal investigator. The completed report form and other applicable material are to be reviewed by the project coordinator, who is responsible for ensuring that the progress/termination review material is accurate and complete. The project coordinator will meet with each PI after reviewing the submitted form and materials. After review by the project coordinator, the form and any additional supporting materials are submitted to the associate dean for research for ARP review.

Within 60 days of receipt of the ARP Progress/Termination Report Form and any other applicable material, the associate dean for research is expected to complete an independent review of a project’s annual/termination report and convene a review meeting with the principal investigator, project coordinator, and other involved project participants, such as co-principal investigators (if appropriate), to discuss the project and any concerns identified in the review by the project coordinator and the associate dean for research. The result of this meeting is that one of four recommendations will be made: (1) Commendation for satisfactory project achievement/completion, (2) Support for continuation of funding, (3) Review of unsatisfactory performance, or (4) Project termination (for projects not already ending or terminated). Copies of a written report detailing the recommendation are transmitted within two weeks of the review meeting to the principal investigator and the project coordinator by the associate dean for research. The written report contains the recommendation as well as a list of strengths and areas needing improvement.

C. Impact Statements

Annually on January 31, each project is required to provide the ARP office a statement of impact identifying the beneficial effect the project’s implementation has had on the field of agriculture, the University, SAES, and/or agencies, companies, or individuals. These impact statements are to provide a brief synopsis of the measurable and meaningful contribution the project has made since its inception. These statements are to be based on actual accomplishments not intended goals or objectives. The general outline for an Impact Statement is provided in Appendix G.

VII. GENERAL POLICIES

A. Duration of a Project

Normally, the average period approved for a project is three years. Continuation funding is reviewed annually and is dependent upon satisfactory progress. The dean/research director has the authority to redirect, extend or terminate a project when it is evident that satisfactory progress is not being made.
B. Extension of a Project

Application for the extension of a project beyond the approved period is to be sent to the dean/research director 90 days prior to the scheduled termination date. Any application for extension must have an up-to-date progress report and a justification for the extension prepared by the principal investigator. It should also have the support of the project coordinator and outline detail expenditures anticipated and the activities to be undertaken during the period of the requested extension.

While project extensions are not encouraged, a project may be extended (automatic extension) for one year or less beyond the termination date, subject to approval of the dean/research director. Additional extensions must be approved by USDA/CSREES after proper justification.

C. Project Operations

No expenditures should be incurred until the principal investigator receives a certified/or temporary budget from the Office of Agricultural Research. All purchases, payroll authorizations and other acquisitions must be done within the established regulations of the university and those of the State of North Carolina.

To expedite the purchase of livestock at auctions, refer to Statement for Purchase of Live Animals for Research of the Business and Finance Purchasing Policies and procedures.

D. Equipment Purchases

Prior to submitting a proposal, the principal investigator should identify equipment needed for successfully conducting the proposed study, and confer with the project coordinator and the associate dean for research. Accordingly, the budget accompanying the proposal should contain a list and the cost of such equipment. All equipment authorized for purchase in a given fiscal year must be requested between October 1 and June 30 of the current federal fiscal year. Funds allocated for equipment not purchased during this period may be diverted to other projects or program uses.

E. Supplies and Expendables

Except for feed, repairs, gasoline and other fuels, supplies and other expendables should be purchased by July 31 of the current fiscal year. When the goods are received by the principal investigator, a copy of the purchase order or document of receipt is to be routed back through the Office of Agricultural Research. Any adjustments due to price or invoice changes must be approved by the project coordinator and the Office of Agricultural Research.
In regards to the purchase of certain fuels, see Appendix H.

F. Travel

Travel should be undertaken in accordance with North Carolina A&T State University’s Travel Policies and Procedures.

Special attention should be paid to the guidelines for use of motor vehicles purchased by Evans-Allen Funds (Appendix I).

G. Processing of Documents

All payroll documents, purchase request and other documents of procurement and services are to be approved by the department chair prior to submission to the Office of Agriculture Research. Monthly cut-off dates established by the Office of Agricultural Research are to be observed in the processing of documents. (Student payrolls are to be submitted to the Office of Agricultural Research at least 24 hours prior to the due date). Allow three working days for processing of project related documentation in the Office of Agricultural Research. The budget manager will forward all such documents to the dean/research director’s office for approval. The dean’s office will forward them to Business and Finance for further processing.

H. After-the-Fact Certification of Labor Forms

After-the-Fact Certification of Labor Forms are required for all persons employed or otherwise supported by Evans-Allen funds. Completed forms must be signed and approved by the respective department chairpersons. By the second day of the month, forms for the previous month’s certification should be submitted to the Office of Agricultural Research. The forms will then be sent directly to the Office of Research Administration.

I. Budget Revisions

Budget revisions may be requested as necessary. However, it is suggested that this be kept to a minimum for ease of recording in the Office of Agricultural Research and that of Contracts and Grants. All revisions are subject to the approval of the Office of Agricultural Research.

J. Replacement of Principal investigator(s) Upon Resignation or Other Reasons

If for any reason a principal investigator or other project personnel leaves the project (e.g., resignation or other), the associate dean in consultation with the project coordinator/department chairperson and the dean/research director will decide whether or not the individual should be replaced. The university property management office must conduct a complete inventory of project equipment and
supplies before the individual is allowed to terminate his/her connection with either
the project or the university.

In accordance the Personnel Policies for Designated Employment Exempt from the
State Personnel Act North Carolina A&T State University (1981), EPA non-teaching
employees in covered positions shall be subject to the same provisions concerning
sick leave, maternity leave, civil leave and military leave as are applicable to
employees subject to the State Personnel Act found in the Business and Finance
Human Resources Policies and Procedures.

K. Harmonization of Salary Scales

The salary for an individual to be employed under the State Personnel Act (SPA) is
determined by the university personnel director where as the salary for an individual
to be employed in a position that is exempt from the personnel act (EPA) is
determined by the agriculture research administrators. In doing so, every effort
should be made to harmonize salaries with qualifications and experience across
projects and in keeping with university guidelines. No principal investigator should
offer a salary to any prospective employee on his/her project unless approved by the
department chairperson, associate dean for research and research director/dean.

L. After-the-Fact Approval for Emergency Purchases

Principal investigators are advised to become familiar with Statement for Emergency
Request Section on Purchasing in the Business and Finance Purchasing Policies and
Procedures Manual. The procedures as outlined in the manual for emergency
purchases should be followed according to the guidelines at
http://businessfinance.ncat.edu/busmgr/purchase/Purchs12.htm

M. Petty Cash

The purpose of the petty cash fund is to facilitate project operation and alleviate the
burden placed on principal investigators to purchase small, urgently needed items
from personal funds. Use of the petty cash fund is subject to prior approval of the
associate dean for research and dean/research director. This fund is not to be used to
facilitate after-the-fact purchases. (See Petty Cash in the Business and Finance
Purchasing Policies and Procedures at

The following criteria for petty cash expenditures have been established:

1. $25.00 ceiling on purchases; exceptions (not to exceed $50.00) may be made
   at the discretion of the dean/research director.

2. Purchases must not violate state purchasing policies and procedures.
3. Purchases must be of an emergency nature and/or for small items that do not lend themselves to the university’s purchase order system, small tools, chemicals, seeds and other such items to be used in research. (This does (or, do you mean “does not” ?) include the purchase of gas for a vehicle, registration fees, or any other cost related to travel.)

4. No equipment can be purchased with petty cash. An appropriate explanation/justification must accompany each request.

5. The fund must be operated in compliance with the university’s fiscal policy:
   (Use bullets instead of dollar signs)
   • Individual purchases cannot exceed $35.00 (#1 above it says $25 is the ceiling)
   • Only original receipts will be honored.
   • No payment of fines or fees resulting from the violation of any laws, statues, or regulations is allowed.
   • The principal investigator must submit a petty cash request from the Office of Agricultural Research for approval prior to making a purchase.
   • A petty cash request form must be approved by the associate dean for research, dean/research director or a designee before funds can be disbursed.
   • All items must be purchased within two days and settlement form submitted.
   • Petty cash settlement forms must have receipts or other proof of purchase documentation attached in a neat manner.
   • Any balance of unused funds must be returned to the fund administrator along with the petty cash settlement form. If for some reason more money is spent than was requested, the overage will be refunded at the time the settlement form is submitted.

N. University Personnel

North Carolina A&T State University is deeply committed to a policy of equal employment opportunity for all of its employees and applicants. The university actively seeks and employs qualified persons in all job categories and administers all personnel actions affecting employees without regard to race, color, religion, gender, sexual orientation, age, national origin, physical or mental disability, or status as a disabled or veteran of the United States Armed Forces.

The principle of the equal employment opportunity applies to all aspects of the employment relationship, including:

• Initial consideration for employment,
• Job placement and assignment of responsibilities,
• Evaluation of performance,
• Promotion and advancement,
• Compensation and fringe benefits,
• Access to training and other professional development opportunities,
• Formulation and application of personnel rules and regulations,
• Access to facilities and services,
• Layoff and recall from layoff, and
• Discipline and termination.

The University’s Affirmative Action policy also reaffirms the commitment to nondiscrimination in the employment of the disabled, Vietnam-era veterans, and disabled veterans. Questions or concerns about equal employment or affirmative action should be addressed to the Department of Human Resources, or the Affirmative Action Office, or visit these websites:

http://businessfinance.ncat.edu/Hrs/HR_toc.htm,
http://www.ncat.edu/administration/ungrad-progs/

O. New Hires

When the principal investigator identifies the need for a new hire (scientist, professional, technical and/or assistants), he/she should meet and discuss these personnel needs with the department chair. The Office of Agricultural Research should then be contacted with a request to fill the position and to verify that there is funding for the position.

To hire employees subject to the State Personnel Act (SPA), the University employment procedures must be adhered to and must comply with the University guidelines and Senate Bill 886. The PD-301 (Recruitment Form) for SPA personnel must be completed to request applicants to be interviewed for positions. All applicants for the position are to be forwarded to the Department of Human Resources to assure compliance with federal regulations governing Equal Employment Opportunities. For more detailed information on the SPA employment procedures, visit: http://businessfinance.ncat.edu/Hrs/HR_toc.htm.

EPA employment procedures must be in compliance with the university’s Affirmative Action Policy (AAP). To advertise for EPA vacancies (non-academic), a notice to advertise for hire must be reported to the Affirmative Action Officer (AAO) by the Department Chair on EEO Form 101. A copy of the position announcement must accompany the EEO Form 101. If the request is in compliance with AAP the AAO will notify the department or principle investigator that the notice to hire has been approved. For more detailed information on the EPA employment procedures, visit the University website at http://www.ncat.edu/administration/ungrad-progs/.

To finalize the hiring process, payroll documents (EPA internal payroll authorizations and SPA E-1 forms with supporting documents) must be completed. Please contact
the director of EPA Salary Administration & Personnel for a new hire package
detailing the policies and procedures for EPA payroll.

The payroll documents are to be signed by the principal investigator and department
chair, and forwarded to the Office of Agricultural Research. The Office of
Agricultural Research will forward the payroll documents to the dean’s office. Once
approved by the Dean, the payroll documents will be forwarded to the respective
University offices. No individual should report for work prior to official notification
from the Department of Human Resources for SPA employees or from the
Chancellor’s Office for EPA employees.

P. Post Docs

The employment of post docs in the Agricultural Research Program is encouraged;
however, approval prior to hiring must be obtained from the department chair and the
associate dean for research. The period of employment is limited to the time period
of the current or pending Evans-Allen proposal. A letter should be sent from the
department chair to the post doc that clearly states the period of employment.
Employment past the specified time period is dependent on funds available from
projects other than Evans-Allen and approval by the department chair and the
associate dean for research. Any deviation from this policy will be handled on an
individual basis.

Q. Undergraduate/Graduate Pay

Freshman and sophomore undergraduates on Evans-Allen projects are hired at an
hourly rate of $8. Junior and senior undergraduates are hired at an hourly rate of $9.
All undergraduates are limited to working no more than 15 hours per week. Graduate
students are hired at an hourly rate of $15 and can work no more than 20 hours per
week. There can be no exceptions!

R. Discipline and Separation

It is the intent of North Carolina A&T State University to provide for its employees
and management a fair, clear and useful tool for correcting and improving
performance problems, as well as to provide a process to assist management in
handling cases of unacceptable personal conduct. For more detailed information on
the SPA Disciplinary Action Policy and the EPA Separation Process, visit the
university websites at http://businessfinance.ncat.edu/Hrs/HR_toc.htm, or

S. Employment Termination

Upon notice of termination of employment, the individual should follow the
guidelines as set forth in the Faculty Handbook, 1990, and the Business and Finance
be consulted. Special attention is drawn to foregoing Appendix J which deals with
leave entitlement including separation.

T. Grievance

The normal procedure as outlined in university regulations will be followed.

U. Agricultural Communications and Technology

Agricultural Communications and Technology employs a variety of media techniques and strategies to help staff in the Agricultural Research Program and the Cooperative Extension Program communicate with diverse audiences. The unit offers services in writing, editing, photography, design, videography and Web-based technologies. Agricultural Communications can assist with creating all types of printed materials, the production and creation of audio and video materials and using the Web for education, information and promotion. The unit is available to assist with media training and using the media to communicate messages. The unit also offers communications training for customers to help them become more proficient at using modern communication tools.

The communications unit produces a wide variety of media materials designed to help extension personnel do a better job. The unit can assist scientists and researchers in packaging project results for use by the general public, and in making sure that stakeholders are aware of research and extension work and see the work is relevant to solving some of the state’s problems and issues.

Effective communications requires a careful blending of subject matter, knowledge and media skills. The unit’s major goal is effective communications among media staff, principal investigators and subject matter extension specialists. Another goal is to produce high quality materials and deliver them on time. Only high quality materials are likely to attract the attention of research and extension offices and to deliver messages with desired impact.

For communications assistance, call the Agricultural Communications office at 4-7048 or 4-7636 Specific guidelines on procedures for production of research publications and other materials are included in Appendix D—Form AG-06.

V. Publications Using Data from Evans-Allen Projects

The Agricultural Research Program will arrange payment for page charges and related expenses for research manuscripts published in research journals. Manuscripts should contain the following acknowledgement:

Acknowledgement
The research in this paper was funded through the Cooperative State Research, Education and Extension Service of the United States Department of Agriculture, Project No. NCX-XXX-XX-XXX-X, in the Agricultural Research Program, North
Carolina Agricultural and Technical State University.
Appendix A
Organizational Chart
Appendix B

Agricultural Research Program
Evans-Allen Proposal

Outline and Guidelines for Proposal Development

Title
A brief, clear, specific designation of the subject of the research. The title used by itself should reflect the objectives and scope of the project; however, the title should not exceed 82 characters.

Impact Statement/Justification
Present (1) the importance of the problem to agriculture and rural life of the state or region; (2) reasons for doing the work (such as the needs the project will fill) and doing it at this time; and (3) ways in which public welfare or scientific knowledge will be advanced. (Should you elaborate more fully on the importance of impact statements in the section on impacts?)

Previous Work and Present Outlook
A brief summary of previous research (citing important publications); status of current research; and the additional knowledge needed which the project is expected to provide. (Literature citations may be listed at the end of the project outline).

Objectives
A clear, complete, and logically arranged statement of the specific objectives of the project.

Procedure
A state of the essential working plans and methods to be used in attaining each of the stated objectives. Procedures should correspond to the objectives and follow the same order. Phases at the work to be undertaken currently should be designated. Location of the work, the facilities and equipment needed and available should be indicated. Where ever appropriate, the procedure should provide data suitable for statistical analysis. The procedure should reflect careful planning and should provide flexibility for changes if necessary.

Probable Duration
An estimate of the maximum time likely to be required to complete the project and publish results. Whenever material change in the objectives of a project, a new or revised project outline should be prepared and submitted. A major change in procedure might also necessitate a revision of the project outline.
Financial Support
Estimated annual allotments (by funds) to (1) salaries, and (2) maintenance, based on analysis of requirements for labor, equipment, supplies, travel, printing costs and other operating expenses. Or, as an alternative, the estimated total scientist years (SY) effort proposed for the project.

Personnel
The leader(s) technical and other support workers assigned.

Facility Resources
Buildings, labs, farm acreage, etc. required for project.

Institutional Units Involved
Each subject matter unit in the eligible institution and any other units of the institution contributing essential services or facilities. The responsibilities of each should be indicated. If there is an advisory, coordinating, or directing committee for the project, the official title of the committee should be listed.

Cooperation
A statement listing the U.S. Department of Agriculture or other stations, institutions, or agencies expected to cooperate formally or informally on the projects. If a project is part of a regional project, list the regional research project number.
Appendix C

Agricultural Research Program
CSREES Peer Review Evaluation Form

Date _________________________

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>GOOD</th>
<th>EVALUATION</th>
<th>FAIR</th>
<th>POOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scientific approach</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Experimental design</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scientific quality</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Literature review (CRIS, et. al.)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Importance to the field</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implications for farm and rural populations</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Relevancy to the needs:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State</td>
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<tr>
<td>Region</td>
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<tr>
<td>Nation</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Globally</td>
<td></td>
<td></td>
<td>YES</td>
<td>NO</td>
</tr>
</tbody>
</table>

Have all the essentials of a project outline as set forth by the Hatch Manual been properly addressed? *(See attached Outline and Guidelines for Proposal Development)*

If your answer was no to the above, please list the omissions: ________________________________________________________________

RECOMMENDATIONS

☐ APPROVED
☐ INAPPROPRIATE FOR FUNDING *(Attach additional sheets for comments if necessary)*
☐ APPROVED WITH REVISIONS
☐ REJECTED

____________________________________  ____________________________________
Signature of Reviewer                   Reviewer’s Name & Title
### Appendix D
Checklist for Proposal Review by Project Coordinator

<table>
<thead>
<tr>
<th>AREA</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>General</strong></td>
<td></td>
</tr>
<tr>
<td>• Does cost exist in the proposal that is not reimbursable from Evans-Allen Funds?</td>
<td></td>
</tr>
<tr>
<td>• Is the principal investigator familiar with the scientific field in the proposal?</td>
<td></td>
</tr>
<tr>
<td>• What impact will this proposal have on future teaching loads in the department and how will this be handled?</td>
<td></td>
</tr>
<tr>
<td>• Are there tangible indicators of successful research results in the proposal?</td>
<td></td>
</tr>
<tr>
<td>• How long after a project is initiated should results be available?</td>
<td></td>
</tr>
<tr>
<td>• Is there a conflict with state and federal regulations on the part of the principal investigator in conducting the research?</td>
<td></td>
</tr>
<tr>
<td>• Is the purpose or objective of the research proposal consistent with overall objectives of the department?</td>
<td></td>
</tr>
<tr>
<td>• If animals are involved with the research project, does the care and handling of such animals comply with State and Federal Regulations?</td>
<td></td>
</tr>
<tr>
<td>• If human subjects are involved, has approval been obtained from the university “Human Subjects Committee”?</td>
<td></td>
</tr>
<tr>
<td>• Is the proposal within the policy guidelines of the university?</td>
<td></td>
</tr>
</tbody>
</table>
### Personnel

- List by title all other grants, contracts, or projects in which the principal investigator, technician, secretary, and support labor are presently participating. State the percentage of time/effort of each individual devoted to each project.

  (ADD EXTRA SHEET AS NEEDED)

- Are students going to be employed in this project? Indicate type of student, percentage of time/effort and salary per hour.

- Has the principal investigator completed all necessary reports (funding and progress) related to previous or current projects?

- Are the personnel salaries in harmony with those of other research and university personnel salaries?

- Can personnel from other projects be utilized for this project?

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Project Grant No</th>
<th>Funding</th>
<th>% of Time/Effort</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Name</td>
<td>Project Grant No</td>
<td>Funding</td>
<td>% of Time/Effort</td>
</tr>
<tr>
<td>Project Name</td>
<td>Project Grant No</td>
<td>Funding</td>
<td>% of Time/Effort</td>
</tr>
</tbody>
</table>

### Scientific Equipment

- Can existing scientific equipment be used for this project? Is the new piece of equipment community property? Where will the equipment be housed?

### Facilities/Space Requirements

- Does the proposed research require additional space?
Describe in detail the physical space requirement.

Is this space presently available for use? If so, where is it located?

Are renovations of any type needed for the space required? If so, describe in detail the estimated cost and anticipated source of funds for these renovations.

- Does the proposal necessitate any special steps on the part of the department/university, such as safety measures against special hazards, special license, acceptance of special responsibilities? If so, describe the needs.

**Services and Supplies**

- If the project requires special services and furniture and office equipment that normally are not available, describe and list the estimated cost for each item.
Appendix E

SCHOOL OF AGRICULTURE AND ENVIRONMENTAL SCIENCES
AGRICULTURAL RESEARCH PROGRAM

INTERNAL FORMS

AG-01 (Collaboration with Cooperative Extension and Others)
AG-02 (Intent to Use A&T Farm Land, Facilities, Livestock, Personnel)
AG-03 (Involvement of Human Subjects)
AG-04 (Intent to Use Laboratory and Equipment)
AG-05 (Personnel Requirements)
AG-06 (Communications Items)
AG-07 (Appropriateness of Budget to Objectives/Available Funds)
   (To be completed by ARP Accountant)

Purpose and Directions:

The purpose of the attached forms is to allow for a systematic review of various aspects of your proposal to the Evans-Allen program. These forms must be completed and submitted to the Agricultural Research Program office before final evaluation of your proposal can be completed. These forms are internal to the Agricultural Research Program.

Once the project and the forms are reviewed and approved, any changes in the plans as described must be approved in writing through the Agricultural Research Office.

This is the first time that we have used these forms and there are areas that need improving. Any comments you may have would be greatly appreciated.
TITLE OF PROPOSAL: __________________________________________________
PRINCIPAL INVESTIGATOR: ____________________________________________
DATE: ________________________________________________________________

Directions: Answer all questions and obtain appropriate signatures.

1. Have you collaborated with persons from Cooperative Extension on our campus?
   a. YES
   b. NO

2. If yes, describe the nature of your collaboration with the Cooperative Extension personnel. (see description of collaboration below)

3. If no, explain why not.

4. Have you collaborated with persons from Cooperative Extension from other campuses?
   a. YES
   b. NO

5. If yes to question 4, describe the nature of your collaboration with the Cooperative Extension personnel from other campuses.

6. Describe the extent of collaboration with persons across campus, within SAES, and industry/agencies.
*Collaboration can vary in type and degree:*

**Networking:** General discussion of topic, confirming that topic is driven by need of audiences

**Partnering:** Jointly producing a product or event such as a bulletin, workshop, etc.

**Cooperating:** Sharing resources and results, working together.

**Collaboration:** Working cooperatively on an activity where both parties share responsibility and credit for the outcome.

Signature of PI: ________________________________________________

Signature of Collaborators: __________________________________________
(or attach letter documenting their involvement)
INTERNAL REVIEW FORM AG-02
Intent to Use A&T Farm Land, Facilities, Livestock, Personnel

TITLE OF PROPOSAL: __________________________________________________

PRINCIPAL INVESTIGATOR: ____________________________________________

DATE: ________________________________________________________________

Directions: Answer all questions and obtain appropriate signatures.

1. Indicate if you plan to use any of the following at the A&T farm, please check:
   _____ Land
   _____ Facilities
   _____ Livestock
   _____ Personnel
   _____ Do not plan to use the farm

   For each checked item, answer the related questions:

2. LAND

   a. Explain the amount and location of land you plan to use. Refer to A&T map for
      location of plots. (Map is on wall in B17 C. H. Moore).

   b. How will the land be used? Describe the plantings, location of building, etc.

   c. Will the land be usable when the project is finished?

   d. If you plan to locate a building, is the infrastructure available to handle the
      building (electricity, water, etc).

   e. Is the building and related costs contained in the proposal? If not, how will this
      be accomplished?

   f. Will you require assistance in tilling, etc. of the plots?
g. What is the timeline on plantings, or use of space by animals?

h. Do you have a technical assistant written into the proposal to assist with this project? If so, explain.

3. FACILITIES

   a. What facility do you plan to use?

   b. For what purpose?

   c. Does the facility currently exist?

      no, are funds included in the proposal or they coming from some other source?

   d. Do you have a technical assistant written into the proposal to assist with this project? If so, explain.

4. LIVESTOCK

   a. Are you planning to use existing livestock?

   b. Are you planning to buy livestock? If so, is there space to house the livestock? Is there feed and other care included in the proposal?

   c. If you are buying livestock, what will happen to the livestock once the project is over?

   c. Do you have a technical assistant written into the proposal to assist with this project? If so, explain.
5. PERSONNEL
   
a. Will the project require assistance from the existing farm personnel? If so, to what extent?

6. SPECIAL FARM EQUIPMENT
   
a. Overall, will you need special farm equipment to complete the project?

b. If so, how will you provide the equipment?

c. What role will your project play in maintaining the equipment.

Signature of PI: __________________________________________________________

APPROVALS:

Signatures indicate that the above requests for A&T Farm land, facilities, livestock and related personnel are approved and can be provided if proposal is funded.

Appropriate Coordinator

Appropriate Coordinator

Appropriate Coordinator

Farm Supervisor: (Dr. Ray McKinnie)________________________________________
TITLE OF PROPOSAL: _______________________________________________________

PRINCIPAL INVESTIGATOR: ________________________________________________

DATE: ___________________________________________________________________

Directions: Answer all questions and obtain appropriate signatures.

1. Does the proposal involve the use of human subjects?
   _____ YES (if yes, answer questions below)
   _____ NO

2. Have you obtained the Human Subjects Certification through the test on the Division of Research website?
   _____ YES
   _____ NO (must obtain before submitting proposal)

   If no, why not? _______________________________________________________

Signature of PI: _________________________________________________________
TITLE OF PROPOSAL: __________________________________________________

PRINCIPAL INVESTIGATOR: ____________________________________________

DATE: ______________________________________________________________

Directions: Answer all questions and obtain appropriate signatures.

1. Does this project require the use of a laboratory? _______

2. If yes, where is the laboratory located? _____________________________

3. Does the laboratory require any type of renovations? _______________

4. If yes, give a brief explanation and an estimated cost. __________________

5. Is this cost included in your proposal’s budget? ______________

6. Does the laboratory require additional equipment? _______________

7. If yes, what type of equipment is needed? ___________________________

8. Can this equipment be used for future research? _______________

9. What is the estimated cost for additional equipment? _______________

10. Is this cost included in the proposal’s budget? _______________

Signature of PI: ______________________________________________________
TITLE OF PROPOSAL: __________________________________________________

PRINCIPAL INVESTIGATOR: ____________________________________________

DATE: ________________________________________________________________

Directions: Answer all questions and obtain appropriate signatures.

1. List the persons who will be involved in this research. Give name, position title and percentage of time to be spent on project.
   a. EPA

   b. SPA

   c. Graduate Research Assistants
d. Undergraduate Students

2. Will this project require the hiring of additional personnel? ________________

3. If yes, give position title and a brief job description.

4. Is this cost included in your proposal’s budget? ________________

Signature of PI: __________________________________________________________
Communications Products Included in Proposal

Please answer the following questions:

1. Who is the intended audience? (Other researchers, general public, agency personnel, other)

2. How many people are in this intended audience?

3. What are the likes and dislikes of that audience?

4. What do you want to say to them? What are the three things they need to know?
   •
   •
   •

5. What kind of response do you want from the audience? A request for more information? A donation? Or just awareness?
6. Do you want to: (check all that apply)

- Define
- Educate
- Enforce
- Inform
- Instruct
- Notify
- Praise
- Promote
- Raise funds
- Recruit

7. How are you going to get the audience’s attention? How are you going to stand out from the competition (if there is any)?

8. If there is competition, who is your competition and what are they doing?

9. How are you going to measure the effectiveness of the communication tool(s)?

10. Do you have any obligations as part of a grant to publicize your event/program/activity/research? If so, what are you obligated to do and when?

11. What is the budgeted amount for the communication item(s) described above?

   

   __________

Communications Review

The budgeted amount is in line with the communication item(s) described above.

Communications Director: Robin Adams
SCHOOL OF AGRICULTURE AND ENVIRONMENTAL SCIENCES
AGRICULTURAL RESEARCH PROGRAM

INTERNAL REVIEW FORM AG-07
Appropriateness of Budget to Objectives and Available Funds
(TO BE COMPLETED BY ARP ACCOUNTANT)

TITLE OF PROPOSAL: __________________________________________________

PRINCIPAL INVESTIGATOR: ____________________________________________

DATE: ________________________________________________________________

Directions: Answer all questions and obtain appropriate signatures.

1. What is the total cost of the budget? __________________

2. What is the amount of the proposal being replaced? _________________
   This related to discontinuing projects within the Department.

3. Are the costs in line with funding from Evans-Allen? _________________

4. Are there unknown costs not discussed in the narrative?

5. Is the budget in proper form?

6. What revisions are necessary?

7. What is the average project cost for the department? _________________

Signature of Accountant: _____________________________________________
(Shirl Hines)
Appendix F

Project Annual Review Report Form

Report Period: ___________  O - 1st Year  O - 2nd Year  O - 3rd Year  O - Extension Year
O - Progress Report  O - Termination Report

Project Name: ____________________________________________

Principal Investigator: _____________________________________

Other Investigators: ________________________________________

Department: _______________________________________________

Project Coordinator: ________________________________________

Date Project Initiated: ___________  Projected Termination Date: ___________

Directions: Please address the questions below. The Principal Investigator should complete this form with assistance from other investigators (as needed and as appropriate).

1. Project Description.
   Briefly describe the issue or problem that the project is addressing (addressed). (This should match what was presented in the approved project proposal, but may include enhancements and clarifications given what has been learned as a result of work on the objectives).

2. Progress on Objectives.
   Describe the status of completion of work on each objective included in the approved project proposal. If an objective has been changed or no longer applicable, or has been added, discuss the reasons for these changes. Discuss the progress made on each objective and any reasons an objective has not yet been completed or may not be completed successfully.

   Discuss any significant budget modifications, particularly any changes related to achievement of objectives or support for project faculty, staff, or students.

4. Findings.
   Describe the important findings or outcomes that the project has achieved. Relate the findings/outcomes to the problem or issue for which the project was developed to address.

5. Impact.
Describe the impact that the project has had on the issue for which the project was developed to address. Relate findings/outcomes to practical changes or differences that implementation and/or completion of the project has had on the field of agriculture.

6. **Collaboration.**
   Describe the collaborative relationships established for the implementation of this project. Identify the role each collaborative relationship has had in terms of the objectives involved and what each collaborative partner was (is) responsible for contributing. Explain the involvement with Cooperative Extension.

7. **Student Involvement.**
   Describe how students have been involved in the project including their responsibilities, learning opportunities, and contributions to the project and dissemination of its findings. Include any opportunities students have had to work with collaborative partners and participate in the impact of the project.

8. **Special Concerns.**
   Describe any special circumstances or conditions that you feel need to be considered in relation to the achievement status or progress of this project. Include issues with personnel, equipment, and intrusions by the School or University.

9. **Capacity Building.**
   Describe how you believe this project has contributed to the research capacity of your department, SAES, and/or the University. Identify what has been established or enhanced as a result of this project and how that will affect future research, student instruction or service to the agricultural community.

10. **Outputs.**
    List the titles and authors of any papers or presentations connected with the project. Include the source, location (if a presentation), and date to which the paper or presentation was submitted, published, or presented.

11. **Continuation Plans.**
    Discuss your plans for continuation of this project or for a project based on the findings/outcomes of this project.

12. **Outside Funding Efforts.**
    Describe the efforts you have made to obtain funding other than Evans-Allen to support the objectives of your project. Include a summary of funding sources for which you have applied for or have spoken with a program officer regarding submission of a proposal or negotiation of a contract. List any funding you have obtained related to the objectives of this project.

13. **Miscellaneous.** Add anything not covered above that you feel is important to the success of this project.
Appendix G
Impact Statements

Why impact statements are important

- Accountability
- Might be the only representation of the quality of work we do
- Serve as a comparison to other institutions

Why talk about impact statements?

- Make them easier to write when they are due.
- Start thinking about them now – how could you convey the importance and success of what you’re currently doing to a lay audience?
- Increase understanding of the process

Write for the Audience

- Who is your audience?
  Administrators, politicians, funding agencies
- What do they want?
  Easily understood information that is quickly accessible
- How will they use your statement?
  Paraphrase it for inclusion in reports and presentations

Elements of an Impact Statement

- Problem or objective
  Why should people care and who is affected by the problem?
- Program (optional)
  Name the project, if it will be recognizable to your audience
- Participants
  List every institution and academic unit involved
- Partners (optional)
  Name other institutions, if others are involved
• Action taken
  Two or three sentences about what was done

• Program impact or conclusion

  Preferably quantifiable data directly resulting from the project.

  If above isn’t available, a logical result of the action taken, which addresses the
  problem or objective stated.

**Pitfalls to Avoid**

• Excessive subjectivity
• Irrelevant information
• Forgetting the impact or objective
Appendix H

Purchase of Gasoline, Lubricants and Other Fuels

Procurement
By means of established bidding procedures, the farm manager will procure fuel, motor oil and other lubricants through the farm budget subhead for motor vehicle supplies. This object code of the farm budget will be replenished by means of local transfer of funds from the research administrative account to the farm account.

Dispensing Fuel
Only authorized vehicles will be fueled from supplies maintained on the farm premises. These include tractors, trucks, various power machinery and vehicles assigned to research projects supported by Evans-Allen funds. Purchase of gasoline or other fuels will be done at the farm through the standard purchase order process for approved vehicles.

The farm manager or his designee will be responsible for servicing vehicles at the farm pump. An invoice will be prepared at the end of the month which notes the following: date; type of vehicle; license number, fuel quantity and price; type of fuel; account number to be charged. This invoice will be submitted and approved by the business manager. The original invoice will be forwarded to accounts payable with copies going to the farm manager and budget manager.

Accountability and Transfer of Funds
The farm manager will keep an updated account of fuels on hand, and will re-order whenever necessary.

Purchase request for fuels will be made through the regular channels for a minimum of one month’s estimated requirements, but not for more than three months at a time. The internal purchase order serves to inform the farm manager that the purchase is authorized in the amount and period covered.
Appendix I

Policy for Motor Vehicle Purchases and Maintained by Evans-Allen Funds

1. A vehicle bought with Evans-Allen funds or acquired through the Federal Excess Personal Property Program (FEPP) remains in the overall jurisdiction of the Agricultural Research Program and the research director/designee may assign the vehicle(s) to departments and/or projects as applicable.

2. The research director/designee may reassign the vehicle if or when the project is closed out, or if for good reason it becomes necessary to do so before termination.

3. Vehicles purchases for a project should be for the common use of project personnel and as directed by the principle investigator and approved by the research director.

4. Maintaining the vehicle in good running condition is the responsibility of the principal investigator or his/her designee and he/she should ensure that neglect does not lead to abnormal deterioration of the vehicle.

5. The users of vehicles purchased and maintained by Evans-Allen Funds should be familiar with and be guided by the general state policy and the of the university on transportation as outlines in the Faculty Handbook (1890) and the Project Coordinators Manual (1981).

6. Each vehicle should carry a log book in which the following should be recorded each time the vehicle is used: beginning mileage (speedometer reading), fuel, amount of other substances bought, and mileage (speedometer reading), number miles traveled, purpose of trip, signature and date.

7. It will normally be expected that a vehicle be returned to its parking site on campus after it has been used.

8. Fuel for vehicle used for agricultural research should be purchased at the farm pump in accordance with the procedures outlined in Appendix D of this manual. The use of privately owned credit cards to purchase gasoline or other fuels is not encouraged.

9. At the termination of a project, the principal investigator will turn over to the research director the keys for the vehicle(s) assigned to the project. Should there be immediate reassignment or sale of the vehicle(s), measures should be taken to secure it, e.g., parking in the secure area of the physical plant.

10. The principle investigator to whom a vehicle is assigned should exercise good judgment in ensuring that the vehicle is fully used in keeping with the purpose for which it was budgeted.

11. The research director or his designee will make quarterly reviews of the use of all vehicles in the research program.
Appendix J

Abbreviations/Terms Used in This Manual

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARP</td>
<td>Agricultural Research Program</td>
</tr>
<tr>
<td>USDA</td>
<td>United State Department of Agriculture</td>
</tr>
<tr>
<td>CSREES</td>
<td>Cooperative State Research Extension and Education Service</td>
</tr>
<tr>
<td>PC</td>
<td>Project Coordinator</td>
</tr>
<tr>
<td>PI</td>
<td>Principal Investigator</td>
</tr>
<tr>
<td>SAES</td>
<td>School of Agriculture and Environmental Sciences</td>
</tr>
<tr>
<td>Evans-Allen</td>
<td>Funds authorized in Section 1445 of Public Law 95-113</td>
</tr>
<tr>
<td>Farm Bill</td>
<td>Federal act/authorization under U.S. Department of Agriculture</td>
</tr>
<tr>
<td>FEPP</td>
<td>Federal Excess Personal Property Program</td>
</tr>
<tr>
<td>Plan of Work</td>
<td>Documentation outlining plan of research activity</td>
</tr>
<tr>
<td>CRIS</td>
<td>Current Research Information System</td>
</tr>
<tr>
<td>EPA</td>
<td>Exempt Personnel Act</td>
</tr>
<tr>
<td>SPA</td>
<td>State Personnel Act</td>
</tr>
<tr>
<td>AAO</td>
<td>Affirmative Action Officer</td>
</tr>
<tr>
<td>EEO</td>
<td>Equal Employment Office</td>
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</table>