



The Florida State University
Tallahassee, Florida 32306-1030

FACULTY SENATE, 1030
(904) 644-6876
(904) 644-7497
FAX (904) 644-0172

AGENDA
FACULTY SENATE MEETING
Everglades Auditorium
The Augustus B. Turnbull III
Florida State Conference Center
September 13, 1995
3:45 p.m.

- I. Approval of the minutes of the April 12, 1995 meeting
- II. Approval of the agenda for the September 13, 1995 meeting
- III. Welcome to the Turnbull Conference Center, R. Simerly
- IV. Report of the Steering Committee, M. Cowart
- V. Remarks by the Faculty Senate President, M. Young
- VI. Reports of Standing Committees
- VII. Unfinished Business
- VIII. New Business
 - a. NSF/PHS Disclosure Policy
- IX. University Welfare
- X. Announcements of Deans and other administrative officers
 - a. L. Abele, Provost and Vice President for Academic Affairs
- IX. Announcements of the President of the University

*****ANNOUNCEMENT!! EVERYONE IS INVITED!*****
Provost and Mrs. Lawrence Abele and the University Club will host a University Club Wednesday Social in the Fireside Lounge immediately following the Senate meeting. The University Club will collect \$2.00 to help defray their expenses.

*****THERE IS A SPECIAL SENATE MEETING SCHEDULED FOR SEPTEMBER 20 IN MOORE AUDITORIUM TO DISCUSS THE CHANGES IN THE LIBERAL STUDIES REQUIREMENTS*****

THE NEXT REGULARLY SCHEDULED SENATE MEETING
WILL BE OCTOBER 11 IN DODD HALL AUDITORIUM



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FACULTY SENATE MEETING
September 13, 1995
Turnbull Conference Center
3:45 p.m.

I. Regular Session

The regular session of the 1995-96 Faculty Senate met on Wednesday, September 13, 1995, at 3:45 p.m. Senate President Marilyn Young presided.

The following members were absent. Alternates who were present are listed in parenthesis. R. Atkinson, J. Bailey, J. Beckham, G. Boggs (K. Eastman), R. Braswell (K. Harris), R. Clark (J. Saltiel), C. Darling (C. Reddick), R. Dunham, P. Gielissee, L. Gould, W. Heard, A. Hirsch, J. Ho, N. Jumonville, T. Lindbloom, C. Lynch-Brown, R. Marshall, S. Maxwell, G. Moore, W. Oldson, V. Ping, M. Ponce, H. Prosper, D. Rasmussen, V. Richard, B. Shellahamer, J. Standley, J. Tatum, L. Vinton, L. Walters (E. Rehder).

II. Approval of the Minutes

The minutes of April 12 were approved as distributed.

III. Approval of the Agenda

The agenda was approved as distributed.

IV. Welcome to the Turnbull Conference Center, R. Simerly

Dean Simerly expressed his delight that the Faculty Senate holds its first meeting of the academic year at the Turnbull Conference Center. He spoke of the importance of challenges facing us in the 21st Century and the opportunities distance learning will provide in these challenges.

V. Report of the Steering Committee, M. Cowart

The Senate Steering Committee met regularly over the summer on your behalf on academic matters of mutual concern.

Since the last meeting of the Faculty Senate in April, the Steering Committee met three times with the President and twice with the Provost. A special session with Steering Committee and Undergraduate Policy Committee members was held with Bill Proctor, Executive Director of the Postsecondary Education Planning Council. In addition, Senate President Marilyn Young met regularly with the President, Provost and the Dean of the Faculties and other officers of the University.

Over the summer our Senate President attended Board of Regents meetings, the Council of Senate Presidents and served on the Board of Regents committee to develop the State University System Assessment of Instruction instrument.

A number of important administrative appointments were made; Carey Drayton, Police Chief, Carolyn Shackelford, Director of Personnel, and Robert Simerly, Dean of University Outreach and Director of Distance Learning are among the most recent.

A subcommittee of the Undergraduate Policy Committee also met on our behalf over the summer on the important issue of reduced Liberal Studies requirements enacted by the Florida Legislature. Since our report for implementation of the new Liberal Studies requirement is due to the Board of Regents before the end of this academic term, we will dedicate a special meeting to discussion on this topic on September 20, next Wednesday, at the regular Senate meeting time. You will hear more about this later in the meeting.

Since the start of the Fall academic term we have observed numerous instances of graduate students parking in "R" spaces because parking services has authorized their "R" permit under faculty status rather than graduate student status. President Young has requested Dean Edwards have this problem corrected on behalf of the faculty. In addition, the Steering Committee has received numerous expressions of concern from faculty about the conversion of "R" spaces for other uses without provision for replacement places in other areas. Some spaces have a 5:00 p.m. limit placed on them although many faculty work well into the evening hours. Lynn Cooley, Director of Parking Services will be available to talk with faculty on an individual basis at the end of this meeting.

At our regular Senate Steering committee workshop at the beginning of the Fall term, we met with Board of Regents Vice Chancellor David Spence, Provost Larry Abele, and Professor Karen Laughlin, Chair of the Undergraduate Policy Committee to discuss a range of issues.

On another item of erosion of the academic infrastructure, the Steering Committee received a letter from Professor George Bates expressing concern over the continuing cuts to the library book and journal budget without any relief from other sources such as the athletic budget. The Steering Committee took this issue to President D'Alemberte at our meeting with him last Friday.

In addition to filling vacancies on our standing Senate Committees, the Steering Committee has appointed an Ad Hoc Committee on the Implementation of the State University System Student Assessment of Instruction (SUSSAI). The members of this committee include Jon Bailey, Ken Brewer, Ralph Dougherty, Jerry Draper (Council of Deans representative), Bob Turner, Ray Frost (ex officio) and chair, Patricia Dean. Their report will be distributed in October to be discussed at the November meeting and voted on at the December meeting.

At the request of the Provost and the Dean of the Faculties, the Steering Committee has appointed a committee to provide recommendations regarding the placement and administrative reporting of campus minority pre-college and retention programs. This ad hoc committee is chaired by Tonya Harris. Faculty who have agreed to serve are Roberto Fernandez, Vivian Fueyo, Maxine Montgomery and Bob Smith.

The Steering Committee serves as the Faculty Memorials and Courtesies Committee. We established a procedure whereby the Senate President on behalf of the faculty sends a letter to families of deceased faculty indicating that a gift in the faculty member's name will be donated to the Friends of the Library book fund. You will be receiving a letter shortly asking you to renew your commitment to the Committee purpose with a donation.

VI. Remarks by the Faculty Senate President, M. Young

President Young's remarks are attached as addendum 1.

VII. Reports of Standing Committees

a. Undergraduate Policy Committee, K. Laughlin

Professor Laughlin provided some background information on the implementation process involved in SB 2330. A subcommittee of the UPC has met regularly throughout the summer and has, with input from many areas, developed several proposals for the Senate to consider in the reduction of Liberal Studies hours from 49 to 36. Information was mailed out today to all faculty for an open discussion for next Wednesday at 3:45 in Moore Auditorium.

VIII. Unfinished Business

There were no items of unfinished business for today's meeting.

IX. New Business

a. NSF/PHS Disclosure Policy

The Steering Committee received this document (addendum 2) from Provost Abele. Senator Dougherty moved the adoption of the NSF/PHS Disclosure Policy. His motion was approved.

X. University Welfare

Senator Bates voiced great concern over the dwindling resources available to our libraries. Several senators were able to give previous library budget allocation information. Senator Bates presented a resolution (addendum 3) for Senate approval. The Faculty Senate approved his motion. During the discussion, Provost Abele stated that moneys slated for equipment could be directed to libraries if that was what the Senate wanted.

Senator Dougherty expressed concern over the closing of streets around Landis Green and the impact on parking and working conditions this will cause for those faculty and staff in the area.

Senator Ray, chair of the Computing and Information Resources Committee, alerted the Senate that a survey will be sent out to everyone from IBM to assess computer uses and needs. Please take a few minutes to complete and return the survey.

Other concerns involved policies implemented which restrict parking on football week-ends and questions as to why some vending machines will not take the Access card, which causes a patron to have to pay more for purchases.

XI. Announcements of Deans and other administrative officers

a. L. Abele, Provost and Vice President for Academic Affairs

Provost Abele expressed his special thanks to the members of the Undergraduate Policy Committee for all their hard work in reducing the Liberal Studies hours. He also expressed his appreciation to all the faculty who are working on SB 2330. Provost Abele gave a detailed budget report.

Dean Muhlenfeld announced that during the month of October faculty may invite students to lunch in the union and the cost is only \$2.00. This is an opportunity for faculty and their students to 'break bread'.

XII. Adjournment

The meeting adjourned at 5:30 p.m.

A handwritten signature in cursive script that reads "Janis D. Sass". The signature is written in dark ink and is positioned above the printed name.

Janis D. Sass
Secretary to the Faculty

ADDRESS TO THE FACULTY SENATE

Senate President Marilyn Young

September 13, 1995

Last year at this time, I urged you to resist being daunted by the forces swirling around us. I exhorted you to protect the traditions we have forged at FSU by renewing your commitment to shared governance through greater participation. In the course of the past year, I think we have taken important steps toward realizing that goal. Today, I call upon you again to renew your commitment to faculty governance and to a university perspective. We must pull together, both administration and faculty, more than ever before in order to meet the challenges before us.

First, what have we accomplished?

We have continued the committee work that makes this a functioning and effective Senate. This is no small feat in the face of increasing demands on our time.

We have examined our own operating procedures, seeking ways to facilitate, streamline, and enhance the work of this body. Later this year, you will be asked to consider changes to our by-laws in an attempt to improve the way we conduct business.

We have instituted regular discussion of issues before referring them to committee, in order to enhance the participation of the Senate as a whole as well as to provide guidance to our committees.

We approved a campus-wide computing policy, reviewed the use of SIRS for the evaluation of instruction, and reaffirmed our commitment to liberal studies.

Second, what is before us?

Many of the issues we addressed last year will return for more serious discussion and action. Areas that have traditionally been in the purview of this body are now being dictated by the legislature: we are being required by Senate Bill 2330 to reduce our liberal studies requirements; and a new instrument for the assessment of teaching that will be used statewide

and that will be public record has been developed at the direction of the legislature and the Board of Regents.

Our concern over these issues during the next few weeks represents a disturbing trend in higher education, not only in the state of Florida but across the nation. In virtually every state, faculty have become scapegoats for the failure of our economy to provide adequate jobs for our graduates. The system of tenure is under attack; indeed, the entire academic enterprise is under negative scrutiny. Yet, in many ways, none of this is new. Certainly, academe has endured worse and come through in better shape.

And we must remember, as Jim Pitts pointed out in his State of the Senate Address in 1987:

"...there are four essential freedoms of a university: the freedom to determine who may teach, to determine what may be taught, to determine how it may be taught, and to determine who may be admitted to study." This is still true for us today.

Last year I challenged you to preserve tradition. This year we must embrace change while striving to fortify and defend the best of what we are about. We must face the issues before us--with grace and dignity, with creativity and imagination, with energy and perseverance. This is the challenge I put to you today.

Our immediate task is to meet the legislative mandates. Then, to regroup. For some of us, this means re-assessing and rethinking what we mean by an educated person. What should be the profile of a university graduate in the twenty-first century? What knowledge and skills will best prepare our students for life in the future? For others, it means attempting to undo the worst and most onerous of the incursions into the traditional preserve of university faculty. While remaining vigilant, we must strive to put our case before the constituency we serve: the public. We should take every opportunity to explain what we are about and why.

Above all, we must work with the administration. It is tempting to throw up our hands and retreat into our classrooms and laboratories. We must not allow ourselves to become so self-absorbed, so concerned for ourselves that we abandon the greater good, for if we do this, we will

have conceded the battle. For our administrators--given the tight deadlines and the onerous nature of many of the demands and requirements placed on them--it is tempting to make decisions without truly consulting faculty, without bringing them in when their ideas can make a difference. We must listen to one another.

It is time to share responsibility, to participate, to stay informed, to maintain a university --a universal--perspective. If we truly believe in this enterprise we call higher education, if we are committed to the idea of shared governance, we must continuously strive to make it work. And to do that we must be involved. Now there are before us enormous tasks. It is our responsibility to become active participants, to share in the process, and, in the end, to turn it in our favor. We can do this, and so I put this challenge to you today as well.

Over the last several months, I have often reminded myself of the old adage, "This too shall pass." I believe that. The sorts of issues we are facing have befallen this enterprise before; undoubtedly they will recur in the future. Yet, what is also true is that a university community is still one of the very best places to be. We are fortunate to be able to spend our working years associated with an institution of higher learning, with its values, its energy, its commitment to excellence. It is our responsibility, individually and collectively, as professors and as the elected Senate of this great institution, to keep it that way.

Addendum



Office of the Vice President
for Research
Tallahassee, Florida 32306-3067
(904) 644-3260 FAX (904) 644-1464

MEMORANDUM

TO: Provost Larry Abele
FROM: Robert M. Johnson
DATE: August 14, 1995
RE: NSF/PHS Financial Disclosure Regulations; FSU's Draft
Financial Disclosure Policy

Attached for your review is a draft policy (Attachment A) prepared by my staff to comply with the new NSF and PHS requirements regarding investigator financial disclosure. Both regulations are effective October 1, 1995, so there is a need to expedite the review and adoption of the University's policy.

Although the NSF final rule was published last summer, NSF delayed implementation of its rule pending revisions; these revisions were intended to create consistency with the PHS policy. The NSF revisions and the PHS final rule have now been published.

Other Federal agencies are also working towards implementation of similar policies. Our hope is that the agencies will standardize the requirements so that one University policy can apply across-the-board.

The draft policy attached was developed using the Penn State University policy as a guideline. We attempted to draft a policy to meet the minimum requirements of the regulations and not to impose any unnecessary reporting nor recordkeeping requirements upon faculty and staff. The minimum requirements of the federal regulations include:

THE FLORIDA STATE UNIVERSITY
Office of the Provost and Vice President for Academic Affairs
Tallahassee, Florida, 32306-3020
Telephone: (904) 644-1816, FAX: (904) 644-0172



MEMORANDUM

DATE: August 17, 1995
TO: Faculty Senate Steering Committee
FROM: Lawrence G. Abele
RE: NSF/PHS Financial Disclosure Regulations; FSU's Draft
Financial Disclosure Policy

Please review and forward your comments.

1. A requirement that any NSF/PHS grantee employing more than fifty persons maintain "an appropriate written and enforced policy on conflicts of interest."
2. The minimum requirements for the institutional policy include:
 - a. Limited and targeted financial disclosure;
 - b. designation of a person(s) to review the disclosures and resolve the problems revealed;
 - c. enforcement mechanisms; and
 - d. arrangements for informing PHS of the existence of conflicts and the University's actions to resolve the conflict and for informing NSF of conflict situations that are not resolved to the satisfaction of the institution.
3. With each proposal submission, an institutional representative must certify compliance with the policy.

To streamline the process, we intend to revise the university's proposal transmittal form to elicit the information necessary for the institutional certification. For example, we will add a certification to indicate the investigator is familiar with the university's policy. Also, the investigator will check yes/no to several new questions on the form: is a disclosure required; if so, whether it has been filed with the Dean/Vice President. The Dean's/Vice President's signature on the transmittal form will indicate receipt of the disclosure form. If a disclosure is not required, no additional paperwork is needed.

If a disclosure is required, it can be accomplished using the enclosed form (Attachment B). Attachment B consists of a one-page informational sheet and the disclosure form. This is the document that will most often be reviewed and utilized by the faculty. The complete policy will be available for review in the Dean's/Vice President's office and should also be included in the Faculty Handbook.

I have circulated this draft policy to the members of the CRC; their comments have been reviewed and implemented, where possible. Of concern to CRC members was whether additional paperwork would be required which would delay proposal submission.

Please review the draft policy and forward it to the Faculty Senate Steering Committee for consideration and adoption. The regulations require that the University have a policy in place by October 1, otherwise funding from NSF and PHS may be jeopardized.

RNJ/es
enclosures

ATTACHMENT A

08/14/95

Policy and Procedures for Financial Disclosure for

Contract and Grant Applicants

To promote objectivity in research, two federal agencies, the Public Health Service (PHS) and the National Science Foundation (NSF), have recently enacted financial disclosure requirements for institutions applying for grants or cooperative agreements for research. These regulations are intended to ensure that the design, conduct, and reporting of the research to be funded will not be biased by any Significant Financial Interest of any investigator responsible for the research.

These requirements do not apply to SBIR/STTR Program Phase I applications.

These requirements apply to proposals submitted on or after October 1, 1995.

Definitions

Institution means any domestic or foreign, public or private, entity or organization.

Investigator means the principal investigator, the co-principal investigator and any other person at the institution who is responsible for the design, conduct or reporting of the research or educational activities funded

or proposed for funding by NSF/PHS. For purposes of this policy, this definition includes the investigator's spouse and dependent children.

PHS means the Public Health Service, an operating unit of the United States Department of Health and Human Services, and any components of the PHS.

NSF means the National Science Foundation.

Research means a systematic investigation designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research and product development and includes any such activity for which research funding is available from a PHS/NSF awarding component through a grant or cooperative agreement.

Significant Financial Interest means anything of monetary value, including, but not limited to:

- salary or other payments for services (e.g., consulting fees or honoraria);
- equity interests (e.g. stocks, stock options or other ownership interests); and
- intellectual property rights (e.g. patents, copyrights and royalties from such rights).

The term does not include:

1. Salary, royalties, or other remuneration from the applicant institution;
2. Any ownership interests in the institution, if the institution is an applicant under the SBIR/STTR Programs;

3. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
 4. Income from service on advisory committees or review panels for public or nonprofit entities;
 5. An equity interest that when aggregated for the Investigator and the Investigator's spouse and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity; or
 6. Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse and dependent children are not expected to exceed \$10,000 over the next twelve months.
- Provided, however, that the exclusions in items (1), (5) and (6) shall not apply if the compensation or transfer of an equity interest is conditioned upon a particular outcome in a sponsored research project.
- Small Business Innovation Research (SBIR) Program* means the extramural research program for small business that is established by the PHS and certain other Federal agencies. For purposes of this part, SBIR includes the Small Business Technology Transfer (STTR) Program.

PROCEDURES

1. Each investigator is required to disclose the

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following Significant Financial Interests:

- a. Any Significant Financial Interest of the Investigator that would reasonably appear to be affected by the research or educational activity funded by or proposed for funding by PHS/NSF; and
 - b. Any Significant Financial Interest of the Investigator in an entity whose financial interest would reasonably appear to be affected by the research or educational activity funded or proposed for funding by PHS/NSF.
- Regardless of the above minimum requirements, a faculty or staff member, in his or her own best interest, may choose to disclose any other financial or related interest that could present a conflict of interest. Disclosure is a key factor in protecting one's reputation and career from potentially embarrassing or harmful allegations of misconduct.
2. Each Investigator who has a Significant Financial Interest requiring disclosure shall complete a Significant Financial Interests Disclosure Form and attach all required supporting documentation. The completed Disclosure Form must be submitted with the proposal and Proposal Transmittal Form to the Dean or Vice President (or his/her designee) using normal University procedures. Supporting documentation that identifies the business enterprise or entity involved and the nature and amount of the interest

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the Principal Investigator's field of study may be added to the Committee for the review of a particular project.

At a convened meeting at which a majority of the members are present, the Committee shall determine what conditions or restrictions, if any, should be imposed by the University to manage a conflict of interest arising from disclosed Significant Financial Interests. The Committee's recommendation, approved by a majority of those members present at the meeting, shall be forwarded to the Vice President for Research, with a copy to the Principal Investigator and his/her Dean/Vice President. The Principal Investigator may appeal the decision of the Committee to the President of the University if he/she believes that the Committee's recommendations are not justified.

5. Prior to consideration by the Conflict of Interest Committee, the Investigator, in cooperation with his/her Dean/Vice President, shall develop and present to the Committee a Conflict of Interest Resolution Plan that details proposed steps that will be taken to manage, reduce, or eliminate the conflict of interest. Some examples of ways to manage, reduce or eliminate conflicts include, but are not limited to:

- public disclosure of significant financial interests;
- monitoring of research by independent reviewers; or
- modification of the research plan.

The Committee shall review the Resolution Plan and approve

should be submitted in a sealed envelope marked "confidential" along with the Disclosure Form and Proposal Transmittal Form.

3. All Significant Financial Interests must be disclosed prior to the time a proposal is submitted to an NSF or PHS awarding agency. Financial disclosures must be updated during the period of the award on July 1 of each year following initial disclosure and/or as new reportable Significant Financial Interests are obtained.

4. The Dean or Vice President is responsible for receiving and conducting an initial review of all financial disclosures to determine whether a conflict of interest exists. A conflict of interest exists when the reviewer reasonably determines that a Significant Financial Interest could directly and significantly affect the design, conduct or reporting of the proposed sponsored project.

If the initial determination is made that there may be a conflict of interest covered by this policy, then the Disclosure Form and accompanying documentation will be referred to the appropriate University Conflict of Interest Review Committee. Committee members are appointed by the Vice President for Research. The Committee shall contain, at a minimum, four faculty members representing a cross section of academic disciplines, a research administrator, and a representative from the Dean of Faculties Office. If the Committee deems it necessary, a faculty member within

it or add conditions or restrictions, as deemed necessary.

These additional conditions or restrictions can include:

- modification of the research plan;
- disqualification from participation in all or a portion of the research or educational activity funded by PHS/NSF;

--divestiture of significant financial interests; or

--severance of relationships that create a conflict.

If the Committee determines that imposing the above-listed conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the Committee may recommend that, to the extent permitted by Federal regulations, the research go forward without imposing such conditions or restrictions. In these cases, the Vice President for Research shall make the final decision regarding resolution.

6. The approved Resolution Plan shall be incorporated into a Memorandum of Understanding between the University and the Investigator. This Memorandum shall detail the conditions or restrictions imposed upon the Investigator in the conduct of the project or in his/her relationship with a business enterprise or entity. The Memorandum shall be signed by the Investigator, his/her Dean/Vice President and

the Vice President for Research.

7. Conflicts of interest will be satisfactorily managed, reduced or eliminated in accordance with these procedures prior to the expenditure of any funds under the award.

Reporting required:

a. For NSF funded projects: If the conflict cannot be managed, reduced or eliminated, the conflict must be reported to the NSF Office of General Counsel.

b. For PHS funded projects, the existence of a conflict must be disclosed to the PHS Awarding Component prior to the expenditure of any funds under the award along with an assurance that the conflict has been managed, reduced or eliminated, at least on an interim basis, within sixty days of the identification of the conflict.

8. Records of Significant Financial Interests Disclosure Forms, accompanying documentation and Resolution Plans, if any, shall be maintained by the Dean/Vice President for a period of 3 years after the later of the termination or completion of the award to which they relate, or the resolution of any government action involving those records, whichever is longer. These records shall be available, upon request, to the PHS/NSF. PHS may require submission of these records or review them on site.

9. An Investigator or other University employee who violates this policy or the terms of a Memorandum of

Understanding shall be reported to the Conflict of Interest Committee. The Committee shall investigate the violation and recommend sanctions including the following:

- freezing research funds or accounts;
- terminating agreements entered into in violation of this policy;
- legal action to recover the amount of financial benefit received by an employee; or
- other disciplinary action based on established University policies.

The Committee's recommendations on sanctions shall be presented to the Investigator's Dean/Vice President, who, in consultation with the Vice President for Research, shall make a final determination.

For PHS funded projects, the PHS Awarding Component shall be notified of conflict and the corrective action taken or to be taken. PHS may at any time inquire into the institutional procedures and actions regarding conflict of interest, including a requirement of submission of, or review on site, all records pertinent to compliance with this policy. On the basis of its review of records and/or other information, PHS may decide that a particular conflict of interest will bias the objectivity of the research to such an extent that further corrective action is needed or that the Institution has not managed, reduced, or eliminated the conflict of interest in accordance with its regulations.

The PHS contracting officer may issue a Stop Work Order, if necessary, until the matter is resolved.

In PHS funded projects whose purpose is to evaluate the safety or effectiveness of a drug, medical device, or treatment, and the Investigator who designed, conducted or reported the research is found to have a conflict of interest that was not disclosed or managed as required by this policy, the University must require disclosure of the conflicting interest in each public presentation of the results of the research.

9. Collaborators from other institutions, subcontractors and subgrantees must either comply with this policy or provide a certification that their institutions are in compliance with Federal policies regarding investigator significant financial disclosure and that their portion of the project is in compliance with their institutional policies.

FLORIDA STATE UNIVERSITY
INVESTIGATOR SIGNIFICANT FINANCIAL INTEREST
INFORMATION SHEET AND DISCLOSURE FORM

What is required?

Federal regulations require institutions to have policies and procedures in place to ensure that investigators disclose any significant financial interest that may present a conflict of interest in relationship to externally sponsored projects. Such disclosures must be made prior to the submission of the proposal for funding, and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated prior to the expenditure of any funds under the award.

Who is covered?
"Investigator" means the principal investigator/project director, co-principal investigators, any other person at the applicant university who is responsible for the design, conduct, or reporting of NSF/PHS funded research or educational activities funded. In this context, the term "investigator" includes the investigator's spouse and dependent children.

What must be disclosed?
Each investigator shall disclose all significant financial interests:
(1) that would reasonably appear to be affected by the NSF/PHS funded research or educational activities funded; or
(ii) in entities whose financial interests would reasonably appear to be affected by such activities.

What is covered?
"Significant financial interests" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g. consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:
(1) Salary, royalties, or other remuneration from the applicant institution;

- (2) Any ownership interests in the institution, if the institution is an applicant under the SBIR/STTR Programs;
- (3) Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- (4) Income from service on advisory committees or review panels for public or nonprofit entities; or
- (5) Financial interests in business enterprises or entities if the value of such interests do not exceed \$10,000 (or \$10,000 per annum if such interests represent salary, fees or other continuing payments) and does not represent more than 3% ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's spouse and dependent children.

Disclosure Procedures:
1. All investigators must disclose their significant financial interests utilizing the attached form and attaching all required supporting documentation. The completed form and packet must be submitted with the proposal and transmittal form to the Dean or Vice President. Supporting documentation should be submitted in a sealed envelope marked "confidential".
2. In accordance with federal regulations, a complete disclosure must be made by Investigator(s) prior to submission of the proposal. Incorporated into a Memorandum of Understanding (MOU) that is executed between the Investigator(s), the dean or Vice President, and the Vice President for Research prior to the expenditure of any funds under the award.

The complete University Policy is available for your review in your Dean's or Vice President's Office.

Florida State University
Significant Financial Interest Disclosure Form

Faculty/Staff Name _____
Department/Unit _____
Proposal Submitted to _____

I am disclosing the following significant financial interests (check one) and attaching supporting documentation (in an envelope marked "confidential") that identifies the business enterprise or entity involved and the nature and amount of the interest:

"Significant financial interests" are defined as interests valued at greater than \$10,000 or an equity or ownership interest of more than five percent held by an investigator and/or the investigator's spouse or dependent children. See page 1 for exempt interests.)

Salary or other payment for services (e.g. consulting fees or honoraria).
Equity interests (e.g., stocks, stock options, or other ownership interests).
Intellectual property rights (e.g., patents, copyrights, and royalties from such rights).
Other significant financial interest of the investigator that could possibly affect or be perceived to affect the results of the NSF/PHS funded research or educational activities.

Further I agree:

To update this disclosure during the period of the award, either on an annual basis, or as new reportable significant financial interests are obtained, to cooperate in the development of a Memorandum of Understanding (MOU) that constitutes a conflict of interest "resolution plan", and to comply with any conditions or restrictions imposed by the University to manage, reduce, or eliminate conflicts of interest or forfeit the award.

Signed: _____ Date: _____

Approvals:

I have received the significant financial interest disclosure and believe that it will be possible to develop and execute, prior to the expenditure of any funds under the award, an MOU to manage, reduce or eliminate any conflict of interest, and, therefore, I recommend that the proposal be submitted to the agency at this time:

Dean/Vice President: _____ Date: _____

FAX

TO: Janis Sass

From: Dr. George Bates

Appendum 3
Passed by the Faculty
644 3375 Senate
on 9-13-95

High quality libraries are essential to the missions of the university. The libraries are critical for maintaining the insight and inspiration of FSU teaching at the peak expected of a premier university. They are essential for research that pushes the envelope of knowledge and for FSU's function as a source of unbiased information for the People of Florida. Not least, they are the doorways through which students explore for themselves the entire landscape of human knowledge and achievement. The faculty senate is concerned that repeated cut-backs in the libraries' materials budget reflects an undervaluing of libraries on the part of the University Administration. A materials budget that keeps pace with inflation should be a top priority for the University. Books not bought and journal subscriptions missed or cancelled, leave permanent gaps on our library shelves and in our teaching and research. We strongly urge President d'Alemberte to reconsider policies that whittle away the heart of the University and restore the funds to this budget that are being diverted to other uses.