Central Arizona-Phoenix Long-Term Ecological Research Program

Guidelines for Project Administration and Management
Version: 3 November 2017

This document presents a framework for the management and administration of the Central Arizona-Phoenix Long-Term Ecological Research (CAP) Program. These guidelines are designed to ensure that important programmatic decisions are equitable, democratic, and reflect both long-term consistency and program history. They provide explicit program management policy to the Lead Principal Investigator (PI) of CAP (hereafter CAP Director), to the CAP Executive Committee (EC), and to the CAP Leadership Team (LT). These guidelines also insure broad representation and involvement of both present and future researchers. These guidelines were initially approved by the CAP EC on November 3 2017 by a vote of 6 in favor, 0 opposed. This "living document" reflects all changes that have been approved by the CAP EC since this time.

There will be **eight Interdisciplinary Research Teams (IRTs)** that include all PIs, Senior Personnel, Collaborators, and students working on CAP. The work of each IRT will be driven by the CAP IV research question on which it is the lead. Thus, the IRTs closely parallel the structure of both the CAP IV proposal and of CAP research.
- All PIs, Senior Personnel, Collaborators, and students shall affiliate themselves with a primary IRT.
- Any PIs, Senior Personnel, Collaborators, and students may be affiliated with more than one IRT.

There will be a **CAP Executive Committee (EC)** that will be composed of the co-PIs of the grant (i.e., the five cover page PIs), and other members whom the CAP Director deems to be critical to programmatic leadership. The EC will also include:
- The CAP Director serving as chair of the EC.
- The CAP Program Manager serving as a records-keeper and non-voting *ex officio* member.
- A representative of the CAP Student Group serving as a non-voting *ex officio* member. Appointment of the student representative to the EC shall be by decision of the CAP Student Group.
- The CAP Executive Committee (CAP EC) shall meet in person or electronically whenever sufficient agenda items warrant a meeting. Any voting member of the EC may call a special committee meeting. Non-voting EC members may call a special committee meeting through the EC Chair.

The **Chair of the CAP Executive Committee** (the CAP Director) shall be charged with the following tasks and responsibilities:
- The EC Chair shall coordinate EC activities, coordinate the EC meetings (in person or electronic) or decision emails, call EC meetings when necessary or requested, and preside over EC meetings.
- The EC Chair shall cast a tie-breaking vote when necessary. Otherwise, the EC Chair is a non-voting member of the committee.
- As the Lead Principle Investigator on the CAP grant, the CAP Director is responsible for the budget and for funding allocations (see below for those that require the advice and consent of the EC). This includes all NSF funds and all internal reinvestment funds made available by ASU to the program
- The EC Chair shall maintain communication about programmatic progress and needs with relevant Arizona State University (ASU) or National Science Foundation (NSF) administrative officials and shall communicate EC requests, concerns, and mandates to the appropriate ASU or NSF administrative officials.
- The EC Chair, with the support of the Program Manager, shall oversee the CAP Student Group, including assisting the group with organizational and logistical issues and maintaining a current list of actively involved students in the group.

- As the EC Chair, the Director shall send a letter of welcome to all new Senior Personnel and Collaborators. This letter shall be accompanied by the most recent version of the Guidelines for Project Administration and Management, the Data Management Policy, the Guidelines for Authoring CAP Publications, and any other programmatically relevant policies (e.g., policies on use of CAP vehicles, resources, space, sites, or personnel).

The **CAP Executive Committee** shall be charged with the following tasks and responsibilities:
- Assist the Director with coordination of program-wide activities, including the organization of NSF site visits and writing of renewal proposals.
- Advise the Director on important programmatic and budgetary decisions (e.g., major personnel decisions, requests for university resources) with decisions by a simple majority vote.
- Review annual intra-program proposals for support and make recommendations to the Director about funding.
- Advise the Director on inter-site decisions, including directions for cross-site comparisons and collaborations, with decisions by a simple majority vote.
- Recommend to the Director whether or not to extend formal CAP programmatic support (in the form of a Letter of Support from the Director) for proposals that do not have a CAP PI, Senior Person, or Collaborator as a Principal Investigator by a simple majority vote.
- Recommend to the Director the addition of any scientist to be a CAP Senior Person or Collaborator, after appropriate presentation by the applicant of how their involvement will enhance CAP research efforts, with decisions by a two-thirds majority vote. Notably, Postdoctoral Research Associates are eligible to serve as Collaborators.
- Approve the specific requirements, limitations, and rights of newly added CAP Senior Personnel or Collaborators, as they are communicated in a "form" letter of welcome from the Lead PI (see above), by simple majority vote.
- Recommend to the Director the removal of any CAP PI, Senior Person, or Collaborator from the project, with decisions by a two-thirds majority vote.
- Approve any changes to the Director position with a two-thirds majority vote.
- Advise the Director and approve any new research, education, or outreach projects that are proposed to be conducted at CAP research sites or that are proposed to use any CAP resources, present or future.
- Recommend to the Director any changes in the CAP Administrative/Management Guidelines, CAP Data Management Policy, or any other program-wide policies (e.g., policies on use of CAP vehicles, resources, space, sites, or personnel) with decisions by a two-thirds majority vote.
- Coordinate the advertising and search for infrastructure-based CAP positions (the Information Manager, Site Manager, Program Manager, and Education and Outreach Manager). Make recommendations to the Director on hiring of infrastructure-based positions by a two-thirds majority vote.
- Make recommendations to the Director on termination of infrastructure-based personnel by a two-thirds majority vote.

There will be a **CAP Leadership Team** that will be composed of the two co-leads of each of the eight Interdisciplinary Research Teams (see below), acknowledging that some members of this group may also serve on the EC.
- IRT Leaders shall be selected by the Director with the advice of the Leadership Team and the approval of the EC.
- The IRT co-Leads are charged with maintaining communications and interactions within their IRT and among IRTs.
- In person or electronic meetings of the Leadership Team shall include at least one co-lead for all eight IRTs. If neither co-lead can participate in a meeting, the co-leads shall designate a representative from their IRT who is able to participate.

- The Leadership Team shall meet in person or electronically whenever sufficient agenda items warrant a meeting. Any voting member of the EC may call a special Team meeting. Leadership Team members may call a special meeting through the EC Chair.
- The primary responsibilities of the Leadership Team are: 1) to advise the Director and the EC on programmatic or policy decisions, when requested; 2) to coordinate renewal proposal and site review preparations with the Director; 3) to oversee the research being conducted by their individual IRTs; and 4) to coordinate the gathering of information for NSF Annual Reports and other progress-related reporting.

There will be a **CAP Management Team** that will be composed of the Program Manager, Site Manager, Information Manager, Education and Outreach Manager, Lab Manager, Accounts Manager, and Director.
- The Management Team shall meet monthly, at a mutually agreed upon time, to keep the team updated on programmatic issues.