

**Annual Report: Academic Year 2008-09
Davis Division: Academic Senate**

Committee on Research

<p>Total Meetings COR Policy: 9 COR Grants: 5</p>	<p>Meeting frequency COR Policy: Approx. 3 meetings/quarter</p> <p>COR Grants: 1-2 meetings in fall quarter and 2-3 meetings in the spring quarter</p>	<p>Average hours of committee work each week: 4 hours</p>
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<p>Total Grant Proposals Reviewed: Small Grants (2K): 169 Large Grants (10-25K) New Initiative/Collaborative Interdisciplinary: 66 Travel Grants (\$800): 409</p> <p>Research Grant Proposals Approved for Funding in 2009-10: Small Grants (2K): 152 Large Grants (10-25K) New Initiative/Collaborative Interdisciplinary: 24 Travel Grants (\$800): 409</p>	<p>Total of reviewed grant proposals deferred from the previous year: 0</p>	<p>Total projects deferred to the coming academic year: 1 (Review of Office of Research-Sponsored Programs, web based open forum)</p>
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Listing of bylaw changes proposed: **Davis Division Bylaw 99:** Proposal to add an Academic Federation Representative to the Academic Senate Committee on Research Policy. Bylaw change reviewed and approved at the Academic Senate Assembly meeting on February 24, 2009.

Listing of committee policies established or revised: ***Funding cutoffs for all programs will be determined by availability of funds. The committee will examine the policies again during the 2009-2010 academic year and will consider other revisions.***

Issues considered by the committee:
COR received and discussed the following reports and proposals from other

Academic Senate or administrative committees and provided comments and responses for each of them as appropriate:

1. Air Quality Research Center ORU Additional Information
2. COR Budget
3. Sponsored Programs Reorganization
4. Web Open Forum/Customer Satisfaction Survey
5. Institute for Data Analysis and Visualization (IDAV) ORU: Consultation Request
6. Endowed Chairs Policy Options Report from ORMP
7. NEAT 5-Year ORU Review
8. Primate Center 10-Year ORU Review
9. Institute for Transportation Studies (ITS) 10-Year ORU Review
10. Institute for Governmental Affairs (IGA) 5-Year ORU Review
11. MRU-MRPI Reviewer Recommendation Request
12. Online Administrative Information Module for Principal Investigators
13. Graduate Council MOU Proposals
14. ORU Budgets
15. Request for travel grant exception to policy
16. Input on budgetary issues from COR to the Office of Research
17. APM 028: Request for Systemwide Review
18. Office of Research Search Committee
19. Post Award Extramural Accounting Issues

Recommended procedural or policy changes for the coming year: None.

Committee's narrative:

The Committee on Research Policy subcommittee dealt with a number of issues of substantial importance to the campus during the 2008-2009 academic year. The Committee on Research Chair attended Senate Executive Council meetings, Representative Assembly meetings, Provost Senate Chair's meetings, and had frequent updates with VC Klein and the Office of Research. The Chair of the Committee on Research, Robert Berman also served as Co-chair of the Instruction and Research (I&R) Budget subcommittee, which was formed by Interim Provost Horwitz to focus on instruction, research, and core academic support functions such as the library, sponsored programs, and educational technology. This budget subcommittee was charged with considering a broad range of ideas to change, improve, and streamline current processes related to research and instruction on the UC Davis campus.

The Vice Chancellor for Research (or a representative from his office) regularly attended the Committee on Research Policy meetings and provided information and updates on campus and systemwide issues, including the ongoing reorganization of Sponsored Programs. The committee routinely invited various faculty members and officials from the campus for discussion and advice on policy issues important to research, including the review of ORU's, effort reporting, PI ledger review reports, extramural accounting, graduate programs,

the performance and reorganization of the office of research, and campus-wide budget issues that affect research programs at UC Davis.

Revision of Davis Division Bylaw 99: Representation on Committee on Research

The committee discussed and approved a bylaw change allowing an Academic Federation representative to be a permanent non-voting member of the Committee on Research Policy (Davis Division Bylaw 99). Although a member of the Academic Federation was invited by the Chair of Committee on Research Policy to attend meetings on a year-to-year basis, the Bylaw governing service on COR Policy did not include representation by the Academic Federation. The members of COR Policy believed that many of the research policy issues discussed by the committee were critical to members of the Academic Federation as well as to members of the Academic Senate, and that input from the Academic Federation would be extremely valuable and beneficial to both the Academic Senate and the Federation. This bylaw change was approved by the Davis Division Representative Assembly on February 24, 2009.

2009-2010 COR Grant Awards

The Committee on Research Grants (CoRG) subcommittee awarded 152 (2K) Small Grants in Aid and 24 New Initiative/Collaborative Interdisciplinary Grants to Promote Extramural Funding. The committee also awarded 409 Research Travel Grants during the 2008-2009 academic year. The relative distribution of monies across campus remained consistent with an approximately 50/50 distribution between the "hard" and "soft" disciplines. Travel grants remain the first priority of the grants program. Due to the large number of applications submitted for the New Initiative/Collaborative Interdisciplinary Grants, *ad hoc* reviewers were recruited to assist COR Grants in the proposal review. The following individuals served in that capacity: Neal El-Farra, Simona Ghetti, Tessa Hill, Noelle L'Etoile, Rebecca Parales, and Rena Zieve.

Committee on Research Budget

As a result of reductions in the UC Davis budget, the budget for the Committee on Research was reduced mid-year by 7% by the Office of Research. This resulted in a \$72,000 reduction in the COR Grants budget for 2008-2009. Due to the continuing budget crisis the Committee on Research budget also received an additional one-time reduction of \$69,000.00 for 2009-2010. The budget of COR was able to absorb these cuts this year due to a reduction in the number of travel awards submitted by senate faculty. This anomaly was due to cancellation of conferences and faculty's reluctance to travel, resulting in a current year savings to the COR travel grant program. This is undoubtedly a temporary situation, and travel grant applications are expected to be up again next year. Overall, the Committee on Research grants program was able to stay within budget and the system of awarding the grants has become much more efficient. The committee

continues to receive positive feedback on the new system from faculty, staff, and administration.

Organized Research Unit (ORU) Reviews

During the 2008-09 academic year the Committee on Research Policy was asked to comment on five ORU reviews. These reviews included the following ORUs: Institute for Data Analysis and Visualization (IDAV), Nanomaterials in the Environment, Agriculture & Technology (NEAT), California National Primate Center, Institute of Transportation Studies (ITS), and Institute for Governmental Affairs (IGA). Among the documents was a request from VCR Klein for Academic Senate input and advice on the status and future of IDAV. COR was informed that the OR had terminated funding for IDAV based on their assessment that IDAV was no longer viable as an ORU. After a series of discussions by COR and meetings with VCR Klein, COR forwarded a recommendation to the Executive Council that (1) appropriate Academic Senate Committees' be consulted in the future before funding to an ORU was withdrawn, (2) that policies and procedures for such actions be clarified and used in the future, and (3) that if IDAV was disestablished it be retained in some other structure (e.g., center or institute) to maintain its national visibility and to allow it to continue to function at some level. However, the appropriate procedures for disestablishing an ORU remain unclear and this situation needs to be resolved. Vice Chancellor Klein has agreed to meet with the appropriate Senate committees prior to any future decisions to termination funding or to disestablish an ORU, and to ensure that such actions are carried out according to applicable UC Policies. Overall, COR Policy and the Davis Division of the Academic Senate's academic review of the Primate Center, IGA, ITS, and NEAT were favorable.

Online Administrative Information Module for Principal Investigators

The Assistant Executive Vice Chancellor requested that several Academic Senate committees review the development of an online administrative information module for Principal Investigators (PIs) at UC Davis. The purpose of the tool is to inform PIs of their administrative responsibilities under federal regulations and University policy. The Committee on Research Policy reviewed the module and did not support the proposal for an online information module for principal investigators. The majority of the committee felt that it failed to address important issues concerning responsibilities of the University and the administration in managing research funds and awards that should have been addressed along with PI responsibilities. The proposal to require faculty to complete the PI module was generally felt by COR to be unrealistic, unworkable and offensive to many faculty. Overall, COR Policy felt that the University should support its research mission by helping PIs be more productive, not by filling their time with administrative tasks that can be carried out more efficiently by specialized staff members.

Endowed Chairs Policy Options Report

COR Policy was asked to review a proposed new policy for allocating the income from endowed chairs and professorships, with the intent of providing more campus flexibility in utilizing the endowment payout and based on the new policy adopted by UC Berkeley. The committee pointed out the following problems with the proposal:

- The monies disbursed from endowments are very often used to directly support research activities and the proposed policy would weaken such activities.
- The Proposal fails to provide evidence that the distribution of income from endowed chairs is not currently being use wisely or appropriately, or that there needs to be any change in how income from endowed chairs is allocated.
- An endowed Chair is intended to provide a means for carefully selected faculty to choose *for themselves* how to best support and promote research and scholarship in their personal area of expertise.
- The Proposal is in violation of the UC Davis Academic Senate Personnel Manual (UCD-191, Endowed Chairs; rev 9/05/08) and University of California APM-191.D.2 that state that "Income from an endowed chair is to be made available to the faculty member appointed to the chair in support of teaching and research".

COR Policy strongly and unanimously opposed the Proposal. The arguments put forth in favor of the changes were not convincing and the committee concluded that it would have a very negative impact on research at UCD. COR Policy recommended a formal retraction of this Proposal. The committee felt that efforts should be made to bring more endowed chairs to UC Davis, rather than to enact policies that are likely to have the opposite effect.

Committee on Research Department Chair Meeting

A meeting was held for all department chairs on January 21, 2009 regarding Committee on Research programs. COR Chair Berman discussed issues ranging from the Committee on Research budget, eligibility for the grant programs COR offers to the types of issues and proposals that COR Policy reviews. The Department Chairs came prepared with questions related to approving travel grant applications, eligibility and budget for small and large grant programs, and issues/problems encountered when working with Office of Research-Sponsored Programs. Comments from those attending the meeting indicated that the meeting was useful, and that it provided Department Chairs with a better understanding of the COR grant programs and the research-related issues that were under consideration by COR. It is intended that COR will hold similar meetings with Department Chairs in the near future.

Review of Office of Research-Sponsored Programs

The Office of Research-Sponsored Programs is currently undergoing a major reorganization. COR Policy agreed that a review of the office should be conducted, and that COR should have an input. A UC Davis web open forum is planned to obtain user comments on the performance of Sponsored Programs and Extramural accounting. The forum will be available to all Academic Senate members and Academic Federation members. It will be developed in the Academic Senate Information System (ASIS) and will be accessible through a Kerberos login. The hope is that the open forum will be available in Fall 2009 and will provide a continuous collection of comments from faculty concerning the quality of service provided by the OVCR and Sponsored Programs. This information will be reviewed by COR Policy and will be used to advise the Office of Research. COR also worked with the OR to develop a customer satisfaction survey that is now operational. The purpose of the survey is to obtain and provide comments and input from the faculty and staff regarding their experience working with Sponsored Programs and Extramural Accounting. The survey is similar to the IACUC customer satisfaction survey that is used by faculty when requesting the use of animals for their research. The responses to the survey questions will be reviewed by COR along with the OR to evaluate the overall functioning of the OR, the effects of reorganization, and to assist in improving the operation of the OR.

Respectfully submitted,

CoR Grants Subcommittee

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