

**Annual Report: Academic Year 2009-10
Davis Division: Academic Senate**

Committee on Research

<p>Total Meetings COR Policy: 9 COR Grants: 6</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): 174 Large Grants (10-25K) New Initiative/Collaborative Interdisciplinary: 67 Travel Grants (\$800): 385 (FY 2009-10)</p> <p>Research Grant Proposals Approved for Funding in 2010-11: Small Grants (2K): 109 Large Grants (10-25K) New Initiative/Collaborative Interdisciplinary: 9 Travel Grants (\$800): 385 (FY 2009-10)</p>	<p>Total of reviewed grant proposals deferred from the previous year: 0</p>	<p>Total projects deferred to the coming academic year: None.</p>
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Listing of bylaw changes proposed: None.

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 2010-2011 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. APR Initiative
2. Furlough Exchange Program (FEP)
3. Need for rapid and appropriate consultation in the current environment.
4. Furlough programs at other UC campuses.
5. Tech Transfer and Intellectual Property issues.
6. Office of Research Sponsored Programs survey
7. Issues related to Library changes
8. Summer salary research grant program
9. Kualo-Coeus software
10. TLO survey
11. UC Davis Vision Document
12. Effort Reporting and Payroll Certification
13. PPM 230-05: Individual Conflicts of Interest Involving Research
14. Gifts for Research and Changes to Endowment Policy
15. Proposal to Revise PPM 220-01 and 220-01a (Organized Research Units)
16. PPM 200-45 Review; Kualo Rice Project
17. Office of Research Budget Update
18. Commission on the Future First-Round Recommendations
19. Compendium Revision
20. Indirect Cost Recovery Report
21. UCPB "Choices" Report
22. Blue Ribbon Committee on Research Report

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 2009-2010 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 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.

Important COR Items Discussed/Reviewed During 2009-10:

2010-2011 COR Grant Awards

The Committee on Research Grants (CoRG) subcommittee awarded 109 Small Grants in Aid and 9 New Initiative/Collaborative Interdisciplinary Grants to Promote Extramural Funding. Due to budget reductions, the amount of the Small Grant in Aid was reduced to \$1,800.00 for the 2010-2011 awards. Similarly, the budgets for the New Initiative/Collaborative Interdisciplinary awards were reduced by 10% so the committee could fund more. The committee also awarded 385 Research Travel Grants during the 2009-2010 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: Nicole Baumgarth and Kent Leach.

Committee on Research Budget

As a result of reductions in the UC Davis budget, the budget for the Committee on Research was reduced by 13% mid-year and the budget was also reduced permanently by 13%. This resulted in a **\$134,671.03** reduction in the COR Grants budget for 2009-2010. Fortunately, the Committee on Research budget was able to absorb these cuts this year by reducing the total number of grants awarded. The committee also reduced the amount of the Small Grant in Aid by 8% and reduced the New Initiative/Collaborative Interdisciplinary grant budgets by 10%. Overall, the Committee on Research grants program was able to stay within budget. However, further budget reductions of this magnitude will make it nearly impossible for the committee to sustain its grant programs. Over the last two academic years, the Committee on Research budget has been reduced by more than **\$200,000.00**.

Summer Salary Research Grant Program

During the 2009-10 academic year, the Chancellor and Provost requested that the Committee on Research assist with developing and implementing a new, one-time Summer Salary Research Grant program. The purpose of the program was to provide additional funding for lower paid faculty that do not normally receive summer salary some additional funding that would allow them to conduct research over the summer. The program was designed to offset furloughs for lower paid faculty. The committee was not given the funding to implement the new program. Rather, the committee was asked to create a call for applications and review the applications. The funding recommendations from the committee would then be sent to the Offices of the Chancellor and Provost and that office would be in charge of administering the award and providing the funding for the

program. The committee was notified that the total funding available was \$400,000.

Chair Fyhrie, Chair Powell, the Senate Executive Director, and the COR analyst met with representatives in the Provost's office many times to brainstorm ideas on how the program would function and be implemented and also figure out what the salary cap should be for this program. This meant requesting salary data for all Senate faculty from staff in Administrative and Resource Management (ARM) and analyzing that data to see the salary ranges for lower paid faculty and compare that to the other two UC campuses that were implementing a similar program. The committee then drafted a call for applications and the COR analyst worked extensively with the Academic Senate programmer to design a new web application for this program. Once the call was sent out and applications were received, the applications were processed, eligibility was verified, and the applications were then reviewed by the committee. The committee received 123 applications total. Once the committee reviewed all the applications, recommendations were made to the Provost. The committee recommended that all eligible applications get funded. Once the Provost agreed with the committee recommendation, Chair Fyhrie and the COR analyst worked with the Offices of the Chancellor and Provost and drafted an award letter to send to all faculty that were awarded the Summer Salary Research grant.

Overall, this new program presented many difficulties and challenges. The main difficulty is that the program was essentially being managed by two different offices. The funding was not provided to the Committee on Research so questions coming from faculty regarding the source and amount of funding could not be answered by staff in the Senate Office. Almost all faculty are very accustomed to working with the COR Analyst in the Senate Office on anything related to faculty research grants. Therefore, the COR analyst in the Senate Office was receiving questions that could not be answered since the program was being administered by the Offices of the Chancellor and Provost. In conclusion, in the future the committee intends to participate in externally funded grant programs when primary control of disbursement is delegated to the Committee on Research, making it possible to oversee the entire program.

Research Administration Survey

During the 2009-10 academic year, the committee developed and implemented a Research administration survey regarding research services on campus. The survey was available for all Senate and Federation members to submit comments regarding their research experiences on campus. The areas of interest included those administered by the Office of Research, Extramural Accounting, and the Department. Comments were specifically requested concerning services supporting: (1) submission of extramural grants and contracts (pre-award issues), (2) handling of research grants after award (post-award issues), (3) the processes of administering intellectual property and (4) issues related to technical transfer including material transfer agreements. The

goal of the survey was to receive comments on research administration in the broadest sense. Comments and concerns collected from the survey were reviewed confidentially by members of COR Policy, and will be used to provide feedback to the new Vice Chancellor of Research and to the Chancellor in support of the goal of improving research procedures at UC Davis.

COR also worked with the Office of Research 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 annually along with management in the Office of Research to evaluate the overall functioning of Sponsored Programs/Extramural Accounting, the effects of the reorganization, and to assist in improving the overall operation of the Office of Research.

Research Costs and Indirect Cost Expenditures

COR Policy requested that Chancellor Katehi instruct Vice Chancellor Klein to provide detailed financial information on the costs of performing research at UC Davis for the last two fiscal years. This included both expenditures of Indirect Cost Recovery (ICR) funds to support research activities at UC Davis and also other funds (and their sources) known by the Office of Research to be directly related to research activity. This request started at the UC Systemwide Committee on Research Policy (UCORP)/Planning and Budget joint working group studying indirect cost recovery issues. This information will allow both the CORP and to the extent appropriate the Senate to begin developing and understanding of where underfunded research costs occur and how the ICR funds are used to offset the true costs of research.

Commission on the Future Recommendations

The Committee on Research Policy reviewed and discussed the first and second round Commission on the Future of the University recommendations, in particular the Research Strategies working group recommendations. CORP agreed that the magnitude of the revenue generation and/or cost savings that are provided by the recommendations are not likely to make a significant impact on the projected budget shortfall. The Research Strategies Workgroup should have included some more extreme recommendations that will address a sizable fraction of the budget shortfall, even if those recommendations are controversial. In summary, CORP found the first set of recommendations from the Research Strategies Workgroup full of hope but they do not truly address the challenges facing the UC. The committee urged the COTF workgroup to tackle the bigger problems directly and provide feedback to the Academic Senate quickly so that the revised recommendations can receive comments before they are acted on. Regarding the second round of Commission on the Future recommendations, CORP was concerned that among the recommendations there are no specific

proposals to cut anything; except for the implied cut in state funding of professor salaries contained in the proposal to look for private support for salaries. CORP was particularly concerned about the negative effects of implementing a yearly negotiated salary component (Recommendation 8, p. 114-5). The opinion of CORP is that this model is not working in the medical schools and that it is erosive of academic freedom and of scholarship. The committee strongly opposed this proposal in the present form.

Blue Ribbon Committee on Research

The Committee on Research Policy reviewed and discussed the Blue Ribbon Committee on Research report. The general sense of CORP was that the Blue Ribbon report had many praiseworthy recommendations. To some extent, the report echoed the UC Davis Vision Document. CORP agreed that the eleven recommendations are not of equal weight to the success of the University. As a general comment, nowhere in the document was there a recommendation for faculty review of research administrative functions. The committee agrees that one of the primary reasons for poor research administrative performance is the absence of timely faculty review and negative consequences to administrators for poor service to the faculty. Regular review by the faculty of the administrative functionaries who are to support faculty research is needed. It would be useful to separate the recommendations into sections organized by who must perform the work. Furthermore, the committee recommended that the reorganization of the Office of Research, setting strategic goals and mission for that office and determining its structure should be dealt with as a separate issue rather than mixing it in with actions required of the Deans, Faculty and other administrative units.

Respectfully submitted,

CoR Grants Subcommittee

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