

**Annual Report: Academic Year 2007-08  
Davis Division: Academic Senate**

**Committee on Research**

<p>Total Meetings <b>COR Policy: 6</b> <b>COR Grants: 5</b></p>	<p>Meeting frequency <b>COR Policy: Approx. 3 meetings/quarter</b></p> <p><b>COR Grants: 1-2 meetings in fall quarter and 2-3 meetings in the spring quarter</b></p>	<p>Average hours of committee work each week: 4 hours</p>
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<p>Total Grant Proposals Reviewed: <b>Small Grants (2K): 194</b> <b>Large Grants (10-30K) New Initiative/Collaborative Interdisciplinary: 85</b> <b>Travel Grants (\$800): 480</b></p> <p>Research Grant Proposals Accepted for Funding in 2008-09: <b>Small Grants (2K): 163</b> <b>Large Grants (10-30K) New Initiative/Collaborative Interdisciplinary: 15</b> <b>Travel Grants (\$800): 480</b></p>	<p>Total of reviewed grant proposals deferred from the previous year: <b>0</b></p>	<p>Total grant proposals deferred to the coming academic year: <b>0</b></p>
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Listing of bylaw changes proposed: None.

Listing of committee policies established or revised:

**Travel Grants:** Due to funding limitations, only a limited number of emeritus travel grant applications can be awarded per year. Such applications will be reviewed by the committee and awarded if the travel request is appropriate and sufficient travel funds are available.

**New Initiative Grants:** Conflict of Interest: The issue was discussed by the committee and COR Grants agreed that committee members **should not submit grant applications for this program, and if they do they must recuse themselves from the entire proposal review process.** CoR implemented a policy that will

require the faculty members that receive a new initiative grant to submit a report at the end of the grant period summarizing progress made on the research project. CoR also implemented a new Collaborative Interdisciplinary category for the New Initiative grants.

**Small Grants:** COR Grants agreed that committee members would still be eligible to apply for the Small Grant in Aid of Research (i.e., \$2K awards) since the awards are based on academic rank and the merit cycle, and do not otherwise undergo a formal review by the committee.

***Funding cutoffs for all programs will be determined by availability of funds. The committee will examine the policies again during the 2008-2009 academic year and will consider other revisions. Junior faculty continue to have top priority and emeriti/ae faculty members are lowest priority when funds have restricted availability.***

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 (AQRC) ORU 3 Year Renewal Interim Report
2. PPM 230-05: Individual Conflicts of Interest Involving Research
3. UC Davis Revised ORU Policy
4. Extramural Funding of Faculty Salaries
5. Committee on Research Bylaws
6. Bodega Marine Lab ORU: 10 year Review
7. UC Latino Research Committee: Transition Plan to MRU
8. UC Davis ORU Budgets
9. Research Funding from Tobacco Industry
10. School of Nursing Proposal
11. UCDHS Policy 1707: Guidelines for Assignment of Faculty Clinical Duties

Recommended procedural or policy changes for the coming year:

**Small Grants:** The small grant program will return to a system in which funding is based on Rank and Last Merit.

**Travel Grants:** The Committee on Research has implemented new procedures for Faculty Research Travel Grant Reimbursements. In the past, departments have charged the appropriate CoR account. To streamline the process and reduce the amount of travel paperwork flowing into the Senate office; departments will now be asked to set up DaFis accounts that will accept 19920 funds and the CoR analyst will transfer the \$800 into the appropriate account for each faculty member awarded a travel grant. The Committee on Research requires a post travel audit to assure the funds are expended for the intended purpose within the required 60 days after return.

### **Committee's narrative:**

The Committee on Research Policy subcommittee dealt with a number of issues of great importance to the campus during the 2007-2008 academic year. The Committee on Research Chair attended Senate Executive Council meetings, Representative Assembly meetings, Provost Senate Chairs meetings, and had frequent updates with VC Klein and the Office of Research. The committee discussed and approved having an ex-officio member from the Academic Federation Committee on Research attend the meetings of the Senate Committee on Research Policy. The Vice Chancellor for Research (or a representative from his office) regularly attends the Committee on Research Policy meetings and provides information and updates on campus and systemwide issues. The committee routinely invited various faculty members and officials from the campus and discussed and advised on policy issues important to research, including the review of ORU's, effort reporting, conflict of interest, technology and industry alliances, the performance and reorganization of the office of research, and campus-wide budget issues that affect research programs at UC Davis.

### **Extramural Funding of Faculty Salaries**

The COR Policy committee continues to be concerned with extramural funding of faculty salaries. The committee drafted a memo to Chair Bisson in December 2007. The intent was to have the memo endorsed by Executive Council. The language included in the memo is provided below:

#### *Two general types of concern have been expressed:*

- (1) Confusion results from the use of non-faculty payroll titles when senate faculty pay part of their academic year salary from research grants. For example, a committee member was given incorrect information on benefits eligibility because of this confusion.*
  
- (2) There is concern that this practice could lead to faculty with security of employment being unsupported when a grant expires. There is the appearance that tenured faculty do not enjoy the protection of tenure in this event, or that benefits may be at risk.*

*The Committee on Research, Policy Subcommittee, recommends the discontinuation of the practice of using misleading payroll titles. The committee further requests that the administration issue a policy statement that explicitly recognizes that tenured faculty surrender no benefits, including tenure, when taking salary from grants.*

### **Review of Office of Research-Sponsored Programs**

The COR Policy committee received several letters of complaint regarding the Sponsored Programs office. This office is currently undergoing reorganization. COR Policy agreed that a review should be conducted. The plan is to create an open forum to monitor Sponsored Programs and Extramural accounting,

research processes, and pre-award and post-award process. This open forum will be available to all Academic Senate members and Academic Federation members. This will be a continuous survey 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. A customer satisfaction survey will also be developed and implemented for faculty to provide comments and input regarding their experience working with Sponsored Programs and Extramural Accounting. The survey will be similar to the IACUC customer satisfaction survey that is used by faculty when requesting the use of animals for their research.

### **2008-2009 COR Grant Awards**

The Committee on Research Grants (CoRG) subcommittee awarded 163 (2K) Small Grants in Aid and 15 New Initiative/Collaborative Interdisciplinary Grants to Promote Extramural Funding. The committee also awarded 480 Research Travel Grants during the 2007-2008 academic year. The relative distribution of monies across campus remained consistent with an approximately 50/50 distribution between the "hard" and "soft" disciplines. The most significant change was the 15% increase in the number of travel grant applications. Travel grants remain the first priority of the grants program and COR will need to budget for a similar increase for 2008-2009. Remaining funds in the budget will be divided approximately equally between the Small Grant in Aid Program (\$2K) and the New Initiatives Grant Program. Due to the large number of applications submitted for the New Initiative/Collaborative Interdisciplinary Grants, nine *ad hoc* reviewers were recruited to assist CoRG in the proposal review. The following individuals served in that capacity: Edwardo Blumwald, Randy Dahlgren, Alan Hastings, Carlito Lebrilla, Bruce Lyeth, Gregory Miller, David Mills, Jim Trimmer, and Rena Zieve.

### **Faculty Research Travel Grant Reimbursements Policy (Directive 07-052)**

The committee also revised the reimbursement policy for Academic Senate Committee on Research travel grants (Directive 07-052) due to the MyTravel system not being designed for the volume of travel grants the Committee on Research awards on a daily basis. The transition to this new process was very smooth and the departments report that receiving the travel award funds before the departure makes the reimbursement process much easier for them when the faculty member returns. All travel grant fund transfers must take place before the departure date of the travel. Travel grants will not be awarded or funded after travel has occurred. This new process is also much more effective for the COR Analyst in the management of the Committee on Research budget and for reconciling the ledgers on a monthly basis.

Departments are still getting used to the fact that the funds must be expended within 60 days of the return date or the funds will be transferred (by Academic Senate staff) back to the travel grant account for award to another faculty member (after the departmental MSO is notified of the 60-day expiration and

intended reversal). All travel grant fund transfers must take place before the departure date of the travel. Travel grants will not be awarded or funded after travel has occurred.

### **COR Monthly Budget Reports**

At the beginning of the 2007-2008 academic year, the COR Analyst was asked by the Executive Director of the Academic Senate to create a monthly budget report for the Academic Committee on Research Grant program. The need for this report was a result of the new process that was implemented for awarding research travel grants. Since the COR Analyst processes all the current budget documents within DaFis, this monthly report serves as documentation for all the documents that must be approved. The Executive Director uses the report to approve all the current budget documents for travel grants. The report also provides monthly expenditures for the Committee on Research. In addition, the COR Analyst completes a post audit to assure the funds are expended for the intended purpose within the required 60 days.

There are some policies that the Grants subcommittee is considering revising for the 2008-2009 year due to budgetary constraints. As a result of reductions in the UC Davis budget, the budget for the Committee on Research was reduced by 7% budget by the Office of Research. This resulted in a \$72,000 reduction in the COR Grants budget for 2008-2009. A new development is the transfer of oversight and administration of the Committee on Research funds from the Office of Research directly to the Academic Senate. This should facilitate the administration and accountability of these funds by the Academic Senate. The committee also considered ways to change the travel grant program in order to better plan for and budget for increased demand for travel awards by senate faculty. This issue will be considered again during the 2008-09 academic year. .

Overall, the Committee on Research grants program stayed within budget and the system of awarding the grants has become much more efficient. There has been positive feedback on the new system from faculty, staff, and administration.

Respectfully submitted,

#### CoR Grants Subcommittee

Robert Berman, Chair  
Katharine Burnett  
David Fyhrie  
Qizhi Gong  
William Hagen  
Bill McCurdy  
Kathryn Olmsted  
Reen Wu  
Bassam Younis

#### CoR Policy Subcommittee

Robert Berman, Chair  
Kathryn Olmsted, Vice Chair  
Eduardo Blumwald  
Xiaomei Chen  
Adela de la Torre  
Greg Miller  
David Mills  
Jon Jay Ramsey  
Anthony Wexler  
Rena Zieve  
Michael Johnson, AF Rep  
Barry Klein, Ex-Officio