

## COMMITTEE ON RESEARCH Annual Report 2008-2009

To the Academic Senate, Santa Cruz Division:

### **I. COR Activities Regarding Matters of Research Policy**

#### **A. Relations with the Vice Chancellor of Research (VCR) and Office of Research**

The 2008-09 the Committee on Research (COR) continued its interaction and coordination with VCR Bruce Margon, who attended most meetings of COR as a guest, participated in discussions, and on several occasions sought COR's input on matters of research policy. COR also invited Bill Clark, Director of the Office of Sponsored Projects, to attend one of COR's meetings to give committee members an overview of the organization of his office and of the services provided in support of faculty research. Next year's COR will determine whether to recommend that a review of the Office of Sponsored Projects be conducted in the near future.

#### **B. Intellectual Property Management**

This year, COR embarked on an in-depth examination of issues of intellectual property on campus. COR held extensive discussions during the first part of the year and consulted with Vanessa Tollefson, Acting Director of the Office of Management of Intellectual Property. COR also consulted with Professor Chris Connery, Chair of the Committee on Academic Freedom.

Intellectual property is a complex territory that spans a wide spectrum, from patents and licensing to scholarly communications. COR felt that there is a need to clarify the services available on campus, but also delineate the limitations associated with the management of intellectual property. As a first step towards disseminating information, COR hosted an educational forum on Intellectual Property, co-sponsored by the Office of Research, which took place in May 2009. At this forum, which was geared mainly towards engineering and sciences faculty, Acting Director Tollefson gave an overview of her office, discussed UC policies and processes concerning patents, collaborations, and licensing, and also presented a number of recent test cases.

Next year's COR will consider hosting a second forum on intellectual property that will be geared towards faculty in other divisions and will cover, among other things, issues of copyright and sharing of educational material.

#### **C. Reviews of Divisional Research Units**

At the request of the Dean of Social Sciences, COR reviewed the Center for Agroecology and Sustainable Food Systems (CASFS) and the New Teacher Center (NTC). COR also reviewed the self-study and provided comments on the draft charge for the upcoming review of the Institute for Marine Sciences (IMS).

A broader related issue is COR's concern that there are no clear processes across the divisions on formally involving COR in reviews of divisional research units and centers (apart from ORUs). COR discussed the possibility that COR and CPB work together to develop processes for

reviewing divisional research units and centers on a regular basis. Santa Cruz Bylaw 13.27.2 1) on COR's charge appears to support COR's role in this way.

#### **D. Indirect Cost Recovery**

This year, UCORP and UCPB declined to pursue further the issue of tracking and analyzing indirect cost recovery, an issue that had been raised repeatedly in the past. COR examined an aspect of current policy which inhibits return of a portion of indirect costs to academic Divisions/Schools via the otherwise-standard formula in the case when the underlying source of funds is a federal grant or contract, but these funds are passed to UCSC as a sub-award by another party, such as another university or UC campus. In June, COR wrote a letter to VCR Margon requesting a change in policy to the effect that the original source of sponsored research funds determines the indirect cost redistribution on campus, not the presence of a "middleman" third party that merely passes the funds through.

#### **E. Miscellanea**

At the request of VCR Margon, the Committee discussed the issue of allowing postdoctoral scholars to serve as principal investigators (PIs) on extramural grants. The Regents (and not the Senate) have set policy on who can be a PI. Distinguishing "co-PIs" is more complicated and differs from agency to agency. Furthermore, even on our campus there are different interpretations as to whether assigning a postdoctoral scholar as a co-PI requires an exception. It would be desirable to develop a set of guidelines that include examples of when an exception to the PI status can be approved by the Office of Research, as well as circumstances likely to lead to a denial of that status.

COR also discussed potential implications on research following the formation of a union of postdoctoral scholars in the UC system.

## **II. COR Activities Involving the University Committee on Research Policy (UCORP)**

### **A. MRU/MRPI Competition**

In November 2008, VP Beckwith sent out a call for proposals for Multicampus Research Programs and Initiatives (MRPIs). All existing Multicampus Research Units (MRUs) were invited to apply for funding competitively, except for UCO Lick and White Mountain, which will participate in a future MRPI competition. UCSC submitted 20 proposals for new programs and existing MRUs with UCSC as the lead campus, and four such proposals were eventually recommended for funding.

Midway through the proposal process, it was brought to the Chair's attention that the MRPI competition that is currently underway does not include provisions for vetting by Senate committees, as outlined in the UC Compendium. COR discussed the lack of Senate participation in the new MRU/MRPI competition, and agreed that it was problematic that the proposal review does not adhere to the Compendium, especially in cases that may result in a de facto MRU disestablishment, but also agreed that it was too late to intervene in the MRPI competition underway. UCORP and Academic Council Chair Croughan had extensive correspondence with Vice President for Research and Graduate Studies Beckwith about this issue. The Academic

Senate has been assured that proper Compendium procedures will be followed if the MRPI competition results in the establishment or disestablishment of any programs, and that the involvement of Senate committees will be integrated into future requests for MRPI proposals.

### **III. COR Budget and Grants Programs**

#### **A. COR Budget**

As a result of the budget crisis, COR received a permanent reduction of \$2900 to its base funding. Additional cuts are expected in 2009-10. The total amount of 2008-09 funds allocated to COR was \$500,109. Taking a longer view, UCSC COR funding continues to slip behind levels during the late 1980s and early 1990s, and remains well below funding levels at most other UC campuses (as documented in the COR 2004-05 annual report and the 2002-03 report on COR funding levels).

#### **B. COR Grants Programs**

COR continued to fund three primary grant programs during the 2008-09 year: Faculty Research Grants (FRGs), Special Research Grants (SRGs), and funding for Scholarly Meeting Travel (SMT). The FRG and SRG awards were made in the Spring, whereas SMT awards were made throughout the fiscal year. In addition, COR funded New Faculty Research Grants (NFRGs) in the Fall for newly-arrived faculty. Total funding in support of these programs was \$593,322 (Table 1). The amount expended by COR in support of research in 2008-09 that exceeded 2008-09 funding was made up by carry-forward from the preceding year. It should be noted that the FRG expenditures listed below were allocated by the 2007-08 COR but paid with 2008-09 funds.

Table 1. Summary of COR Research Expenditures during the 2008-09 Year

| <b>Category</b>  | <b>Amount</b>    | <b>Comments</b>         |
|--|------------------|-------------------------|
| FRG (awarded in Spring 2008 by the 2007-08 COR) & NFRG (awarded in Fall 08 by the 2008-09 COR) | \$227,757        | Paid with 2008-09 funds |
| SRG (awarded in Spring 2009 by the 2008-09 COR)  | \$238,575        | Paid with 2008-09 funds |
| SMT (awarded throughout the year by the 2008-09 COR)   | \$126,990        | Paid with 2008-09 funds |
| <b>Total expenditures</b>  | <b>\$593,322</b> |                         |

As in 2007-08, the 'basic' award for FRGs and NFRGs was \$2,000 for untenured faculty and from \$1,500 for tenured faculty. Due to the budget crisis, COR was unable to offer an additional \$500 for exceptional applications, as it had in the past. SRG awards ranged between \$6,000 and \$12,000, with an approximate average of \$8,000. SMT funding was limited to \$650, with up to \$1,000 available every third year.

The vast majority of FRG, NFRG, and SMT requests were funded in full. Although there are restrictions as to how funds can be used in these programs, applicants who follow the instructions and properly justify their requests are generally funded.

This year, COR received 53 proposals for the SRG competition, which represents a 35.9% increase over the number (39) of proposals received last year. Furthermore, COR received 146 proposals for the FRG competition, which represents a 16.8% increase over the number of proposals (125) received last year.

Given the overall high quality of the submitted proposals, COR felt that it was important to award as many SRG grants as possible. Many of the submitted proposals were towards the completion of important ongoing scholarly work, while others aimed at initiating new research projects or preparing proposals for major extramural grants. In view of the limited funds available, however, almost all successful SRG proposals were funded for amounts lower than those requested in the proposal.

Table 2. Summary statistics on the 2008-09 FRG and SMT programs.

| <b>Division</b> | <b>FRG apps funded</b> | <b>FRG amount funded</b> | <b>SMT apps funded</b> | <b>SMT amount funded</b> |
|-----------------|------------------------|--------------------------|------------------------|--------------------------|
| Arts            | 33                     | \$63,452                 | 24                     | \$18,400                 |
| Engineering     | 2                      | \$3,595                  | 11                     | \$8,550                  |
| Humanities      | 32                     | \$51,262                 | 51                     | \$37,347                 |
| P&BS            | 15                     | \$24,089                 | 20                     | \$15,318                 |
| SocSci          | 46                     | \$85,359                 | 65                     | \$47,375                 |
| <b>Campus</b>   | <b>128</b>             | <b>\$227,757</b>         | <b>171</b>             | <b>\$126,990</b>         |

In Table 2, the FRG awards were made by the 2007-08 COR but, as noted earlier, they were paid with 2008-09 funds. In Table 3 below, the SRG awards were made by the 2008-09 COR and paid with 2008-09 funds.

Table 3. Summary statistics on the 2008-09 SRG program.

| <b>Division</b> | <b>SRG apps requested</b> | <b>SRG apps funded</b> | <b>SRG amount funded</b> |
|-----------------|---------------------------|------------------------|--------------------------|
| Arts            | 13                        | 7                      | \$53,475                 |
| Engineering     | 7                         | 5                      | \$39,000                 |
| Humanities      | 5                         | 4                      | \$25,500                 |
| P&BS            | 10                        | 7                      | \$60,000                 |
| SocSci          | 18                        | 7                      | \$60,600                 |
| <b>Campus</b>   | <b>53</b>                 | <b>30</b>              | <b>\$238,575</b>         |

In Spring 2009, COR also adjudicated the FRG awards for the 2009-10 academic year. Though these awards will be paid out of next year's budget, Table 4 outlines the awards granted by the 2008-09 COR.

Table 4. Summary statistics on the 2009-10 FRG program.

| <b>Division</b> | <b>FRG apps requested</b> | <b>FRG apps funded</b> | <b>FRG amount funded</b> |
|-----------------|---------------------------|------------------------|--------------------------|
| Arts            | 43                        | 36                     | \$50,280                 |
| Engineering     | 2                         | 2                      | \$3,500                  |
| Humanities      | 40                        | 35                     | \$49,810                 |
| P&BS            | 18                        | 17                     | \$23,272                 |
| SocSci          | 43                        | 39                     | \$58,730                 |
| <b>Campus</b>   | <b>146</b>                | <b>129</b>             | <b>\$185,592</b>         |

#### **IV. COR Events and Initiatives**

In addition to the Forum on Intellectual Property hosted in May 2009 (see above), COR also embarked on a plan to institute an annual Convocation on Research. The aim of this event is to recognize high-profile external research awards and recognition earned by UCSC faculty during the previous academic year. This is consistent with COR's long-term interest in supporting, advocating, and making research visible on campus.

#### **V. Other COR Business**

COR also discussed and commented on several system-wide policies and discussed a number of other local issues, among them:

- Academic Plan Metrics and High-Level Indicators (12/2/08)
- Revisions to CAPM 416.220 – Joint Appointments for Senate Faculty (12/2/08)
- Proposed UC Seminar Network (5/12/09)
- Proposed Amendment to Standing Order 100.4 – Emergency Furlough and Salary Reduction Policies (5/12/09)
- SMG Performance Review Administrative Guidelines (6/2/09)

#### **VI. COR Representation**

The COR Chair represented the campus on the system-wide University Committee on Research Policy (UCORP), which met monthly; furthermore, he represented COR on the Senate Executive Committee, which met biweekly. COR member Shaowei Chen represented the Committee throughout the year during most Instructional Technology Committee meetings.

#### **VII. COR Senate Support**

During the fall quarter, COR was supported by Laurie Babka, who retired in December of 2008. Stephanie Casher succeeded Laurie Babka as Senate Committee Advisor in winter of 2009. Roxanne Monnet attended most of the fall meetings and provided support during the transition period. COR is deeply indebted to these three staff members for their dedication, professionalism, and thoughtful support. Their contributions were enormously important to the functioning of the Committee throughout the year.

Respectfully submitted,

**COMMITTEE ON RESEARCH**

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