

**Annual Report
of the
Research Council of the Faculty Senate
Academic Year 2003-2004
University of Massachusetts Amherst**

**Presented at the
633rd Regular Meeting of the Faculty Senate
October 21, 2004**

2003-2004 Research Council Membership

**William Bemis - Biology
Kourosh Danai – Mechanical & Industrial Engineering
Elizabeth Henneman – Nursing
Rachel Keen - Psychology
Sanjay Nawalkha – Finance & Operations
David Ostendorf – Civil & Environmental Engineering
William Patterson – Natural Resources Conservation
Stanley Scarpati – Education
Jay Schafer – W.E.B. DuBois Library
Susan Sturgeon – Biostatistics & Epidemiology
Martha Taunton – Art
Paul Utgoff – Computer Science
Eleanor Vanetzian – Nursing
Juan Zamora – Spanish & Portuguese
Tony Butterfield - Graduate Council Designee
Paul Kostecki – Vice Provost for Research
Ernest May – Faculty Senate
Pilar Mendoza – Graduate Student Senate
John Mullin – Dean of the Graduate School
Carol Sprague – Office of Grant & Contract Administration
Cleve Willis – Provost’s Designee**

Charge: *This Council shall: (a) advance the research mission of the University; (b) advise the administration on policy issues and major changes regarding research trust fund expenditures and review annually the RTF prior fiscal year; (c) review and make recommendations regarding the awarding of research and scholarly oriented grants and awards such as Faculty Research Grants, Healey Endowment Grants, Faculty Fellowships, and Faculty Research Grants for Conference Travel; and (d) review applications for research grant programs which limit the number of applications and institution may submit such as the David and Lucile Packard Fellowship and the National Science Foundation Major Research Instrumentation Program.*

The Council activities are primarily carried out through a number of committees devoted to the many areas of responsibility of the Council. Each committee reports action items to the full Council for approval. Summarized below are the accomplishments of the standing committees along with recommendations for follow-up next year.

THREE YEAR ROLLING AVERAGES FOR 2003-2004 ACADEMIC YEAR

The Research Council identified three measures of policy effectiveness in advancing the research mission of the University: Research Expenditures, Number of Tenure System Principal Investigators, and Research Assistant Headcount. Three year running averages for these measures, ending in academic year 2003-2004, are as follows:

- Research Expenditures (OGCA) **\$92.2 million** (up 5.8%)
- Tenure System Principal Investigators (OIR) **290** (down 0.7%)
- Research Assistant Headcount (Graduate School) **1732** (up 2.6%)

ACTIONS AND ACTIVITIES OF 2003-2004

The Research Council met monthly during the academic year. Activities and actions of the Grant and Fellowship Review Panels are summarized below, along with those of the Research Policy and Regulatory Compliance Committees.

Grant and Fellowship Review Panels

Healey Endowment Grants

The internal grants programs of the University are one of the key activities of the Council. The Healey Endowment Grants were awarded for the 2003-2004 Academic Year. Modeling itself after peer-review groups of the Federal Government, the Council provided critical commentary and constructive feedback on 32 Healey Grant proposals for a total of \$320,970. The Council awarded 12 Healey Grants for \$118,162, as summarized in Table I.

Faculty Research Grant Program

The Faculty Research Grant Program was unfunded for the 2003-2004 Academic Year. Table II lists closeout reports for prior year Faculty Research Grants, as a measure of Program productivity. Prior year projects generated \$5 million of external funding proposals, 20 manuscripts for submittal to peer reviewed journals, 34 abstracts and/or proceedings papers, and 1 book.

Samuel F. Conti Faculty Fellowships

Faculty Fellowship awards are made in recognition of distinguished research and scholarly achievements. Each year a committee of the Council receives recommendations from the Schools and Colleges and identifies the fellows for the next academic year. The awardees for the 2004-2005 academic year are:

- Professor Stephen Clingman, English
- Professor H. Henning Winter, Chemical Engineering
- Professor R. Thomas Zoeller, Biology

Research Policy Committee

The Research Council Committee on Policy met monthly throughout the academic year to develop recommendations of funding and administration of research on Campus. Three memos to the Chancellor summarized Academic Year 2003-2004 efforts. The memos solicited and reflect comments of the Principle Investigators and Department Heads, and were approved by the Research Council. Copies of the memos are attached to this report; individual summaries are as follows:

Direct Research Cost Recovery Policy – 5 March 2004

“The Research Council of the Faculty Senate recommends **no change** to the Direct Research Cost Recovery Policy at this time. We suggest that annual research expenditures and number of tenure system PIs measure the advancement of research on the Campus. The charge of academic year salary to grants should remain flexible and voluntary, and should not replace state funded budget lines. Graduate student tuition must remain waived for Research Assistants. We oppose any increase in the Graduate Student Curriculum Fee and recommend that the current Fee support the Serials Budget of the Library, if it is to remain a direct cost to our grants.”

Indirect Research Cost Recovery and “Redistribution” Policy – 5 May 2004

“The Research Council of the Faculty Senate recommends that **the Indirect Cost rate on State sponsored research should be increased from its present rate of 10% to 15% of the Total Direct Cost**. While we understand that revenues are decoupled from expenses, the Council suggests that Awards, and Direct and Indirect Costs provide a baseline for some recoverable administrative costs of Campus research:

- The Office of Grant and Contract Administration budget should be proportional to the **three year running average of awards for the last three years**.
- The Grant and Contract Accounting Department budget should be proportional to the **total expenditures for the prior fiscal year**.

- Principal Investigators should continue to receive **10% of the Indirect Costs** they generate.
- Departments should continue to receive **10% of the Indirect Costs** they generate.
- Colleges should continue to receive **at least 10% of the Indirect Costs** they generate.

The Council also recommends the establishment of an **Internal Research Program**, whose budget is proportional to the Indirect Costs generated by the Campus research community. The Internal Research Program should be comprised of the following **four elements**:

- A Faculty Research Grant Program with a budget equal to 2% of the Indirect Costs.
- A Conti Fellowship Program with a budget equal to 1% of the Indirect Costs.
- An Equipment Matching Program with a budget equal to 9% of the Indirect Costs.
- An Interdisciplinary Research Program with a budget equal to 8% of the Indirect Costs.

We remind the PIs, Department Heads, and Deans that none of these elements are recoverable as Indirect Costs in the US Department of Health and Human Services (DHHS) negotiations with Whitmore, and labeling them as a “redistribution” of Indirect Costs is a misnomer. Though the size of the Internal Research Program is 20% of the Indirect Costs, it is funded internally by the University, and adds to graduate student tuition waivers, academic release time, and unrecovered Indirect Costs as Campus investments in research.”

Administration of Internal Research Program – 4 June 2004

“The Research Council recommends that Campus research be administered by a Vice Chancellor for Research reporting directly to you, with her own budgetary authority. The Vice Chancellor will control all four elements of the Internal Research Program:

- A Faculty Research Grant Program with a budget equal to 2% of the Indirect Costs.
- A Conti Fellowship Program with a budget equal to 1% of the Indirect Costs.
- An Equipment Matching Program with a budget equal to 9% of the Indirect Costs.
- An Interdisciplinary Research Program with a budget equal to 7% of the Indirect Costs.

These elements were defined in the 5 May 2004 Indirect Cost memo sent to you last month. The Interdisciplinary Research Program budget cited in the May memo has been reduced from 8 to 7% of the IDC base of \$18.3 million. The 1% subtraction will pay for the salary difference between a Vice Provost and a Vice Chancellor, and will reduce the Interdisciplinary budget by \$183,000.”

Regulatory Compliance Committee

In the fall of 2003 the Research Council Sub-Committee on Compliance (RCSCC) discussed the previous summer’s **USDA inspections of animal housing and use areas**, and the campus’ response. After its 9/23/03 inspection USDA initiated legal action against the Institution for repeated citations over a many years. These concerned: poor housekeeping in areas in animal care facilities used by faculty and students, and long-term problems with maintenance of some facilities at the Hadley Farm. The committee recommended bringing faculty on board to support and implement stronger measures to ensure animal use areas are kept clean up. [A speedy response to USDA removed the immediate threat of legal action. The RCSCC’s recommendations contributed to an almost perfect USDA inspection in June 2004.]

Also in the fall of 2003 the committee reviewed **policies relating to biosafety and Occupational Health and Safety**. An ongoing and unresolved question is how to both give a policy authority yet do as the regulatory agencies ask and ensure that a policy is a dynamic document. How can we ensure that once approved a Policy does not become fossilized? Changes in the regulations often require a change in a policy.

Human subjects research policy was a topic of discussion at the winter meetings. The HS Policy needs amending (again, how can policies be modified in a reasonably timely manner to respond to new needs and new regulations?). The IRB Chair the RCSCC to support her request for more administrative support for human subjects research oversight once her present assistant graduates.

A spring meeting topic was **“Process for addressing non compliance”**. EH&S drafted a flow chart to formalize communications and consequences in cases of serious non-compliance with regulations and university policies and guidelines. This was to be presented to the Research Council after review by the Compliance Sub-Committee and was general enough to be applicable to most areas of compliance not just EH&S concerns. To date a final draft has not been received by the committee.

In January the Compliance Coordinator received a request from a private biosafety watchdog group, **“The Sunshine Project”**, for copies of UMass’ Biosafety Committee minutes. The same request went to over 400 institutions nationwide. Regulating agencies provide clear guidelines about what information must be shared with the public if requested. This request raised the question about the need for guidelines as to how to respond to broad requests for information especially when a request is potentially adversarial. [NIH developed guidelines re sharing biosafety information post-Sunshine Project’s request.] Such requests can be difficult to deal with and crafting a response requires time, resources and sometimes legal advice (the meeting’s conclusion). The campus needs a mechanism to deal with broad requests for information on compliance issues. Recommendations: let the requestor know: 1) what will be involved in responding; 2) how long it will take to formulate a response; 3) the cost to the institution to comply with the request.

The committee recommends that reasonably comprehensive **training for new investigators** on compliance matters be offered yearly.

As in the previous year, the RCSCC will provide advice to the compliance office as unusual compliance issues arise. In addition, future agendas will include:

- General procedures for address non compliance (EH&S process once finalized) (notice to PI, deadlines for response, follow-up process etc.)
- training for new investigators (faculty, postdocs) in compliance processes at UMass
- ethics training for graduate students and others
- policy for responding to requests for information requiring resources and/or expertise not available in the compliance office
- human subjects research policy and procedures

Submitted by
David Ostendorf, Chair
Research Council, 2003-2004

TABLE II

**Faculty Research Grant Questionnaire Results
Projects Closed Out**

Fiscal Year 2004

Total Responses **18**

Primary Purpose

a)	New area of development	16
b)	Emergency “carryover” funding	--
c)	Primary Support	2
d)	Develop competence	--
e)	Other	--

<u>Results</u>	<u>Total</u>	<u># of Projects</u>
a) Development of a proposal for External funding (\$4,991,713)	14	11
b) Article preparation in journals	20	14
c) Preparation of abstracts and/or Professional society meetings	34	13
d) Other		
Book Project	1	1
Grad. & Undergrad. Research	1	1