Committee on Research

Report of Academic Year 2009/2010

Description of Charge
The Committee on Research (COR) is a University Academic Senate (UAS) committee. Its charge is listed on page 13 of the UAS Statutes. (http://www.marquette.edu/acad/documents/StatutesoftheUniversityAcademicSenateupdatedSept222009_002.pdf)

2009-2010 Officers and Members:
Voting Members:
Arthur Hefti (School of Dentistry), chair
Steve Melching (College of Engineering), vice chair
Tom Jablonsky (College of Arts &Sciences: History), recording secretary
Abdur Chowdhury (College of Business Administration: Economics)
Joyce Wolburg (College of Communication)
Richard Friman (College of Arts &Sciences: Political Science)
Marianne Weiss (College of Nursing)
Doug Lobner (College of Health Sciences)
Pinfen Yang (College of Arts &Sciences: Biological Science)
David Papke (Law School)
William Pink (College of Education)
Non-Voting Members:
Vice Provost for Research: William Wiener
Director of ORSP: Keith Osterhage
Guest Members:
Timothy Melchert (Graduate School)
Beth McDonough (ORC – Human Rights)
Javier Foronda (ORC- Animal Protection)

Summary:
During the 2009-2010 academic year, the COR reviewed:
- 46 SFF / RRG applications
- 5 Haggerty Award for Research Excellence in Research nominations
- 12 Way Klingler Young Scholar Award and 7 Way Klingler Fellowship nominations.
In addition, the COR or COR subcommittees completed 5 assignments, and participated in 2 university-wide projects. 3 tasks were postponed due to limited resources.

The following sections include a further description of the 2009-2010 activities of the COR.

Recurrent Tasks
Review and Selection of Research Awardees:
1. Summer Faculty Fellowship/Regular Research Grant (SFF/RRG) Awards.
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Booth mechanisms help faculty initiate or reprogram research. They are important also for sustainably growing Marquette University’s research enterprise. Applications were reviewed by three panels with expertise in 1) natural, physical and applied sciences, 2) social sciences, and 3) humanities. Overall funding of $150,037 was available for distribution, which was unchanged from the amount approved a year earlier. The Table offers more details on the numbers of applications submitted and funded, the amount of funding applications were allocated, and a comparison to the previous year.

<table>
<thead>
<tr>
<th>Group</th>
<th>Submit 2010</th>
<th>Submit 2009</th>
<th>Change</th>
<th>Funded 2010</th>
<th>Funded 2009</th>
<th>Change</th>
<th>Funding 2010</th>
<th>Funding 2009</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Natural Sciences</td>
<td>17</td>
<td>16</td>
<td>+1</td>
<td>8</td>
<td>8</td>
<td>0</td>
<td>$55,472</td>
<td>$44,399</td>
<td>$11,073</td>
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<tr>
<td>Social Sciences</td>
<td>20</td>
<td>16</td>
<td>+4</td>
<td>9</td>
<td>7</td>
<td>+2</td>
<td>$65,217</td>
<td>$45,000</td>
<td>$20,217</td>
</tr>
<tr>
<td>Humanities</td>
<td>9</td>
<td>22</td>
<td>-13</td>
<td>5</td>
<td>9</td>
<td>-4</td>
<td>$29,348</td>
<td>$59,622</td>
<td>-30,274</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>46</strong></td>
<td><strong>54</strong></td>
<td><strong>-8</strong></td>
<td><strong>22</strong></td>
<td><strong>24</strong></td>
<td><strong>-2</strong></td>
<td><strong>$150,037</strong></td>
<td><strong>$149,021</strong></td>
<td><strong>$1,016</strong></td>
</tr>
</tbody>
</table>

There is good evidence that the faculty who received SFF/RRG awards have used them very effectively. It was proposed that the COR should track funding and publications that are the result of SFF/RRG projects as an outcome measure for program success or failure. The COR emphasized in its deliberations that SFF/RRG awards are the only lifeline for researchers who have lost extramural funding or need to retool. Other funding resources, in particular bridge funding from the university, have succumbed to the economic downturn. The COR also agreed to adjust the reviewers’ guidelines and to state in the program announcement that applicants without substantial extramural funding will be given preference. The revisions will be ready for the SFF/RRG 2011 funding cycle.

2. Lawrence G. Haggerty Award for Excellence in Research: The Award recognizes scholarly distinction at Marquette University. In 2009/2010, applications were accepted from the humanities and social sciences. Five faculty portfolios were received for consideration. Lifetime achievement along with quality and volume of published oeuvre were outcome measures used to select the among nominees. A unanimous decision was made to recommend Dr. James Marten (chair and professor of history) as the award recipient in 2010.

3. Way Klingler Faculty Development Awards: These awards are made possible through the Faculty Development Fund established in 2004 with a $15 million gift by the late Helen Way Klingler. The purpose of the Fund is to help support scholarly research at Marquette on an annual basis. The COR makes recommendations for the recipients of the Way Klingler Young Scholar Award and the Way Klingler Faculty Fellowship.

3a. Way Klingler Young Scholar Award: Dr. Wiener informed the COR that the decision was made to reduce the number of awards from four to two. This year, 12 (2009: 11) submissions were received and reviewed. The COR members agreed that the top ranked candidates would be put forward to receive the award.
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They were Drs. Sheila Schindler-Ivens (assistant professor of physical therapy) and Amy Van Hecke (assistant professor of psychology).

3b. Way Klingler Faculty Fellowships:
Portfolios of seven (2009: 5) faculty members were reviewed for the Way Klingler Faculty Fellowship competition. The COR members selected Dr. Robert Fitts, chair and professor of biological sciences, and Dr. Pol Vandevelde, professor of philosophy, to receive the Fellowship in the sciences and the Fellowship in the humanities, respectively. The names of the nominees were submitted as the COR’s recommendation to Provost Dr. John Pauly for final approval.

The COR was disappointed that the number of Way Klingler Young Scholar awards was reduced from four to two. In particular, there was concern that Way Klingler funds would be moved away from research permanently. In fact, there was no assurance that the original status will be restored when the endowment recovers from its shortfall. Furthermore, the COR members were troubled by the lack of procedural transparency and that the far reaching decision was made without seeking advice from the COR. After extensive deliberation, the COR unanimously approved a request “that the committee be informed as to the current availability of funds in the Way Klingler endowment and the process by which the funds will be distributed. Further, the committee should be consulted as a body of expertise regarding changes in the distribution of such funds.” Dr. Wiener was asked to forward the request to the Provost.

Completed Business

1. Evaluation of Centers and Institutes:
Provost Dr. John Pauly wanted to consider whether there should be faculty governance over centers and institutes via the COR. Guidelines for establishing centers and institutes, for their review, and termination were published in November 2006.
(http://www.marquette.edu/acad/documents/GuidelinesforNewInstituteorCenters.pdf)
Centers report to the academic dean of the unit in which they originated. As such, the dean should be responsible for reporting on the center. In contrast, institutes report to the provost or the vice provost for research, or their designee. However, most institutes were established long before the guidelines were released in 2006, and therefore many institutes may not fall within the framework given by the guidelines. Last but not least, the activities of most institutes are not such that the COR would have the necessary expertise or be an appropriate reviewing body. The recommendation of the COR concluded that the review of centers and institutes should be done within the academic unit to whom they report, and that the COR is not an appropriate entity due to its lack of expertise in institute- and center-specific matters.

2. Conflict of Interest Review:
The subcommittee included three COR members (Drs. Jablonsky, Papke, and Friman) and solicited the expertise of Mr. Doug Smith (General Counsel), Dr. Brian Schmit (Biomedical Engineering), and Dr. Andrew Dentino (Dentistry). The subcommittee reviewed three applicable documents from Marquette University and compared them with similar documents from other universities. In its report to the COR the subcommittee recommended that the current policies
on conflicts of interest (found in UPP 1-02, UPP 1-33, and in the Conflict of Financial Interest Certification document dated January 1, 1996) are sufficient, with the minor change in the administrative title located in Section II, #3 in the Conflict of Financial Interest Certification document. The change refers to the position title from Academic Vice-President to Provost. The COR approved the subcommittee’s report.

3. Facilities & Administrative (F&A) Cost Policy Revision:
The subcommittee was composed of Drs. Melching (chair), Hefti, Lobner, Weiss, and Yang. Mr. Osterhage, executive director ORSP, participated at all meetings and the drafting of the report. A review of F&A cost policies implemented at peer universities revealed many distribution practices, ranging from keeping all recovered funds in central administration to distribution of all recovered funds to units. At Marquette University, central administration retains 80% of recovered F&A funds, and 20% are distributed to the units. Some units share their allocation with departments and/or faculty, others do not. The subcommittee confirmed in its report that the current policy of returning 20% to units is serving a valuable purpose and should be continued. The subcommittee also proposed that an additional 20% be used to promote research through two mechanisms of equal importance: (1) an increase in funds for the SFF/RRG program, and (2) a Research Enhancement Fund managed by the Provost. Based on data gathered over the past 3 years, the additional 20% of F&A would result in approximately $230,000 per year for each mechanism. The COR will vote on the proposed revision at its May 2010 meeting.

4. Export Control Policy:
The subcommittee was chaired by Dr. Pink and included also Drs. Badarraco and Chowdhury. Dr. Wiener, Mr. Osterhage, and Mr. Smith contributed their expertise. Export control policies are federal mandates in support of U.S. Homeland security. The subcommittee recommended that faculty awareness for export control policies be increased through education at the department level and supplemented with workshops organized by ORSP. Of equal importance is the maintenance of an open research environment and that data be placed in the public domain. In addition, the report proposed that ORSP be considered the central information exchange point for all potential customers. ORSP should also be responsible for compliance and license-related matters, facilitated using an outsourced service provider like eCustoms or similar. However, the units should cover costs related to acquiring and maintaining a license. The subcommittee developed a new Export Control Policy document. The COR will vote on the policy at its May 2010 meeting.

5. Summer Research Experiences:
The COR discussed a request for increased summer research experiences for undergraduate students. Many faculty with extramural funding can offer such opportunities, however an internal funding mechanism is needed for faculty who have no extramural grants. The COR recommended that the real costs of the program are estimated before it is implemented, and that the costs compared with the benefit and added value achieving its goals may offer to Marquette. Such an objective cost-benefit assessment seems to be particularly appropriate in view of funding cuts implemented for established, successful research programs (bridge
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funding, PhD boot camp, new faculty research development program, GAANN Program). The COR also proposed that the University establishes a formal, comprehensive budgeting and funding process for research that would allow long-term planning of new initiatives in line with university strategy.

Ongoing Activities

1. Responsible Conduct in Research (RCR) Training:
The America Competes Act (ACA) directed the National Science Foundation to include provisions for mentoring and training in the responsible and ethical conduct of research (RECR) for undergraduate and graduate students and postdoctoral researchers in their grant requirements. NIH also requires a similar program for trainees on K- and T-grants. The preferred delivery of such RECR training units would be through interactive workshops. Universities receiving federal grants are required to set up their own training programs. Implementation plans had to be available in January 2010. At Marquette University, teams of faculty and graduate students will develop a series of ten training modules, each dedicated to a specific topic. The first four training workshops will be held in summer 2010. The finished program must be available by 2011. The COR accepted the proposed plan to develop RECR training workshops.

2. Physical Infrastructure Needs, in particular Animal Facility:
The COR engaged in discussions about the emerging need for additional and better equipped vivarium space. Committee members were concerned that without adequate animal facilities available, units will not be able to attract and retain top-level faculty. This is also a critical consideration for start-up companies.

Other Activities and Pending Topics

- Monthly reports from the vice provost for research, Dr. William Wiener.
- Monthly reports from Mr. Keith Osterhage, executive director ORSP.
- Bi-monthly reports from Ms. Beth McDonough, research compliance officer – human subjects and radiation safety.
- Bi-monthly reports from Mr. Javier Foronda, research compliance officer – animal and biosafety / director animal facilities.
- Use of students as research subjects.
- Re-energizing the IP Board.
- Reduction of teaching load (re-visit).

Respectfully submitted,

Arthur F. Hefti, DDS, PhD
Chair, committee on research.

April 21, 2010 AFH