

Minutes*

**Senate Research Committee
Friday, April 10, 1998
433 Johnston Hall
1:00 PM**

Present: Len Kuhi, Chair; Mark Brenner, Marilyn DeLong, Robin Dittman, Bianca Conti-Fine, John Finnegan, Burle Gengenbach, Eric Klinger, Kathryn Rettig, Barb Van Drasek, Karl Kistler, Albert Nakano, WinAnn Schumi, Fay Thompson, Ed Wink, Mark Paller

Guests: Dick Bianco and Moira Keane

Regrets: Phil Norcross, Scott McConnell

[In these minutes: Animal Care & Use Policy and Procedures, Roles & Responsibilities Update, Grants Management Committee, NIH Update, Other Business]

The University Senate Research Committee met at 1:00 PM on Friday, April 10, 1998 in 433 Johnston Hall on the East Bank of the U of MN. The minutes from the Research Committee meeting held on Friday, March 13, 1998, distributed to committee members via e-mail prior to the meeting, were approved as written.

ANIMAL CARE & USE POLICY & PROCEDURES.

A draft copy of the Board of Regents Animal Care & Use Policy was distributed to committee members prior to the meeting for their review. Dick Bianco and Moira Keane returned to present policy revisions recommended by the Research Committee at its meeting on February 12, 1998. Professor Kuhi, Chair, noted that the policy revisions did address the concerns raised at the February meeting. Revisions to the policy included the following:

- ◆ Section II, Subdivision 1. Administrative Oversight and Support. Add the Vice President for Research as an administrative oversight and authority figure in addition to the already named Senior Vice President for Health Sciences. Also add the Senior Vice President for Health Sciences as one of the administrators to oversee implementation.
- ◆ Section II, Subdivision 7. Obligations of University Faculty, Staff, and Students. Add the phrase that states the use of animals for University teaching, research or service carries many attendant obligations, and delete the phrase that it constitutes a privilege. Also add University faculty, staff, or students involved in the care and use of animals shall be appropriately qualified or supervised for conducting procedures on animals, and delete the term experienced.

Committee members were in favor of the revisions made to the Animal Care & Use Policy. Dick Bianco also summarized the detailed procedures that accompany the policy as requested; the procedures were distributed to committee members prior to the meeting for their review. Dick noted that the draft copy of procedures do accurately reflect those in place at the present time and asked committee members to review the document and provide him with feedback or questions about the draft. A discussion was held

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about both drafts at this meeting, and although committee members were generally in favor of the procedures, action on the Animal Care & Use Procedures was postponed until the May meeting so committee members had sufficient time for review.

ROLES & RESPONSIBILITIES UPDATE.

WinAnn Schumi, ORTTA, distributed two drafts to committee members for their review: 1) Roles & Responsibilities: General Principles; and 2) Grants Management Project: Policy Decision, Institutional Oversight Model, Transaction Processing and Oversight Process Flow, and Reporting, Analysis, and Exception Resolution.

The Roles & Responsibilities General Principles is a statement that the subcommittee used in the development of their roles and responsibilities matrix. The statement addresses such principles as the definition and identification of responsibility, efficiency of decision-making, checks and balances for all decisions, achieving objectives and increasing compliance, positive and negative consequences, balancing of multiple obligations, and oversight (a list of the detailed principles can be obtained from Kate Stuckert, University Senate). Vice President Brenner reminded Ms. Schumi and committee members about the principle to be able to delegate work, but not the ability to delegate responsibility.

The Policy Decision Statement described information related to the policy topic, group requesting the decision, summary of issue, related principles, recommendation, implementation, and benefits. Ms. Schumi reported that the new model of managing grants at the University resulted from placing more responsibility at the local level. When awards are received, departments will be required to identify a non-sponsored account that can be used to reverse inappropriate charges on the sponsored account. Each department or unit is required to have three accounts: 1) research, 2) training, and 3) service grants. These are all separate non-sponsored accounts in which sponsored activities are placed. These accounts will affect the indirect cost rate, so it is very important to track such information. It also does not require any kind of percentage of grant monies to be escrowed into these accounts if something goes wrong. The benefits of this policy include the following:

- ◆ It would allow the central oversight group to quickly remedy any inappropriate charges found on sponsored accounts.
- ◆ It supports local accountability.
- ◆ It reinforces the need for well-trained and knowledgeable personnel.
- ◆ It would have a positive influence on reducing the "intimidation factor" staff sometimes feel in trying to meet faculty requests.

Members of the Research Committee recommended two changes for the Institutional Oversight Model: 1) drop the word "faculty" from Faculty Senate Research Committee; and 2) add the word "Research" to the beginning of Audit Committee. Ms. Schumi noted that a committee will not oversee this process, but rather a group of individuals trained to perform these clearly defined functions. The oversight function will be looking at samples and patterns, and not at every case. One function is preventative in the approval stage, while the second function monitors the first. Systems will be in place, however, to minimize the participation of the oversight group, and responsibility will lie primarily with the Deans and the service clusters.

It was requested that due to the committee resolution recently approved by the Senate calling for a cost-benefit analysis of regulations and procedures, the procedures and regulations in this particular process

should be kept to a minimum. It was also recommended that decision points be added to the diagrams in order to maximize clarification and understanding of this process.

GRANTS MANAGEMENT COMMITTEE.

- ◆ The Grants Management Committee is reviewing the purchase request form and how the ISO's relate to University of Minnesota purchasing.
- ◆ On April 9, Professor David Hamilton, GMC Chair, updated the Regents on the various projects being reviewed by the Grants Management Committee.
- ◆ The Electronic Grants Management System (EGMS) and Forms Nirvana is getting widespread exposure and is being used as a model at other universities.
- ◆ A faculty and staff group is reviewing the direct and indirect cost resource policy.
- ◆ Disclosure statement is scheduled for audit on May 1, and ORTTA will keep the Research Committee up-to-date on this issue.
- ◆ The Regents were interested to know whether the GMC was all-administrative or whether it was meeting faculty needs.

NIH UPDATE.

Frank Cerra, Senior Vice President for the Health Sciences, and Mark Brenner, Vice President for Research and the Graduate School, visited the National Institute of Health (NIH) in recent weeks to discuss the changing of the guard both at the University of Minnesota and at NIH. Senior VP Cerra has been named the official institutional contact for the University from this point forward, and Jeff Grant, who has been the contact person for NIH during its oversight of the University's exceptional status, has resigned. When NIH plans their site visit at the University, they'll be looking for documentation of institutional practice and the effectiveness of the changes; the site visit is expected to take place in the fall of 1998 at the earliest. It was also noted that there will be a follow-up meeting to address the timelines of the expanded authorities.

OTHER BUSINESS.

Executive Vice President and Provost Robert Bruininks has asked the Research Committee for clarification of the committee's expectations in the formulation of the cost benefit analysis resolution that was recently approved by the Senate. Professor Kuhl asked committee members to send comments and suggestions addressing this request to him by e-mail as soon as possible; he will then meet with VP Brenner and Executive VP & Provost Bruininks to respond to the request.

Ed Wink, ORTTA, will discuss the expanded authorities for the management of federal grants at the May meeting of the Research Committee.

The meeting adjourned at 2:30 PM.