



**Annual Report of the Council on Sponsored Activities
Fiscal Year 2013**

The Council on Sponsored Activities (CSA) is responsible for proposing and endorsing internal policies regulating activities sponsored by agencies outside the College. In addition, the CSA proposes and endorses institutional positions in response to policies of external sponsoring agencies as they affect the College. On a periodic basis, the CSA reviews the scope and impact of sponsored activities in relation to institutional purpose. The membership of the committee shall consist of the Provost; the Executive Vice President for Finance; the General Counsel (OGC); the Director of Office of Sponsored Projects (OSP); the Deans of the Faculty of Arts & Sciences, Geisel School of Medicine, Thayer School of Engineering, and Tuck School of Business; two faculty members appointed by the Steering Committee of the General Faculty (SCGF); and two members from the Faculty of Arts & Sciences delegated from the voting membership of the Committee on the Faculty (COF).

The CSA met 5 times during the year: November 15, 2012; January 15, 2013; March 8, 2013; April 15, 2013; and June 6, 2013.

The members were: Leslie Henderson, Chair (Geisel Dean representative); Roger Sloboda (Provost Representative); Michael Wagner (EVP for Finance); Jill Mortali (OSP); Robert Donin (OGC); David Kotz (Dean of Faculty representative); Tillman Gerngross (Thayer Dean representative); Robert Hansen (Tuck Dean representative); Duane Compton (SCGF); Elsa Garmire (SCGF); Robert Hawley (COF); and John Thorstensen (COF).

The main issues addressed by the Council were:

Criteria for the Acceptance of Disclosure Restrictions

The Council considered a request to accept a subcontract that included a nondisclosure consideration. The Council determined that the restrictions were in conflict with the Faculty Handbook and that the contract could not be accepted. However, the consideration of this case prompted reconsideration of establishing a policy in which exemptions from the current restrictions on disclosure could be reviewed. Exemptions from the restrictions on disclosure were first raised at the CSA a decade ago: the minutes from that discussion and the ideas set out by the CSA members at that time were used to draft the current policy (policy prepared by members of the CSA and OGC). The document: Criteria for Acceptance of Sponsored Activities Agreements with Disclosure Restrictions was discussed, modestly revised and unanimously approved by the Academic Planning Committee in September 2013. This document now provides criteria for consideration of exemption from disclosure restrictions and establishes a process for review by the CSA (which will provide their recommendation to the Provost; decisions by the Provost are final).

New Position Titles for Non-Faculty Academics

The Council considered an initiative to titles for employees who perform roles essential to the academic mission of Dartmouth who are not currently encompassed by either Research Associates or by Research Faculty titles. A draft document was reviewed and revised by the CSA (multiple times) after input from Human Resources, the Provost, the Academic Deans of Arts and Sciences and the Professional Schools and their Faculties, and from the Academic Planning

Committee. It was approved by all of these bodies. The intent of the redefined and new titles is three-fold: to clearly distinguish long-term laboratory personnel from trainees, allow a path for promotion of long-term employees who perform key services to the research/academic enterprise, but who do not fulfill all of the expectations for faculty, and to accommodate our ability to appropriately recruit and retain individuals who have marked achievements in their fields, but who have not done so in an academic setting where a faculty position would be warranted. To this end, the document establishes that the title Research Associate (A, B and C based on duration of employment) will all be transient employees (trainees), that employees hired into long-term positions will be categorized as Research Scientist/Analysts/Engineers (basic level, senior and principal); with the latter having PI eligibility; and a new title of distinguished fellow to be used exceedingly sparingly (waiver hires) for those exceptional individuals described above.

Salary Equity Assessment for Long-term Research Associates (LTRA) and Postdoctoral Scholars

An analysis made of median, high and low salaries across departments in the Geisel School of Medicine and the Arts and Sciences to gauge if there were substantive inequities in salaries for these individuals. Variance was greatest in the clinical departments of Geisel for both LTRA and postdocs, but conclusions were highly limited based on a lack of power in the small sample sizes.

Reassuringly, salaries across the basic science departments in Geisel and departments in A&S were quite comparable. The Council agreed that data will also be collected for Research Associates/LTRA in Thayer and Tuck, and these data, along with the data from A&S and Geisel will be used to provide guidance to deans/faculty members in setting salaries for their employees.

Fee-for-Service Agreements

The Council also discussed questions about the governance of fee-for-service agreements, including how such agreements may (or may not) be distinguished from sponsored projects and the associated policy considerations. Ongoing discussions and assessments will be made by a small task force of representatives from OSP, OGC and OETT and brought back to the CSA for further consideration.

Conflict of Interest

The Council also addressed matters related to the Conflict of Interest Committee, a sub-committee of the CSA, particularly with regard to establishing and clarifying standard operating procedures and the implementation of new federal regulations that went into effect in August 2012.

Other Issues

A number of other issues were discussed during the year.

- funding for maintenance and replacement of research infrastructure
- policies around start-ups (referred to OETT)
- short term disability and grant policy for leave (referred to Council on Benefits)

Sponsored Awards and Proposals for Fiscal Year 2013

The summary of the Annual Sponsored Awards and Proposals for FY2013 is attached to this report. The Director or OSP summarizes performance noting that if financial aid is excluded, the overall sponsored award portfolio is down 4%, which is consistent with predictions from their model. The decreases were not uniform across the institution, Geisel had a 9% increase in

sponsored activity for FY13. The final reports for FY13 are not yet available, but will be soon at <http://www.dartmouth.edu/~osp/resources/reports/>.

I trust this information provides a helpful summary of the CSA activities during the past year.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "L Henderson". The signature is written in a cursive style with a long, sweeping tail on the final letter.

Leslie Henderson
Chair, Council on Sponsored Activities