October 10, 2000

To: Henry T. Yang, Chancellor

From: France A. Córdova, Vice Chancellor for Research

Subject: 1999–2000 Sponsored Projects Statistics

It is a pleasure to report that in fiscal year 1999–2000, UCSB’s extramural funding reached a new high of $112.9 million—surpassing the previous year’s record $102.6 million by $10.3 million, or 10%. This latest milestone, which represents a 86.6% funding increase over 1990–91 (see chart #1), is a clear indicator of external sponsors’ support for UCSB’s research, public service, and training projects. In all, the University of California, Santa Barbara received 1,002 contract and grant awards of 1,485 proposals submitted and $436.4 million requested. The innovation, depth of knowledge, and vitality reflected in these proposals—both funded and unfunded—ensure significant future contributions to California, the nation, and the world.

Funding has increased in all sectors, with the vast majority derived from federal sources (68.9%). The balance comes from private agencies (9.3%), state agencies (9.2%), UC programs (6.7%), industrial sponsors (4.8%), and local government (1.1%) (see chart #2). As it has been for more than a decade, the National Science Foundation is the largest single source of support to the campus, providing $32.4 million in FY 99–00. Other major sources of federal support include the Department of Defense agencies ($20.2 million) in FY 99–00, the National Institutes of Health ($8.3 million), the National Aeronautics and Space Administration ($8.0 million), the Department of Energy ($3.4 million), and the Department of Education ($2.6 million) (see chart #3). It should be noted, however, that a significant portion of the funding from private, industrial, and UC sponsors consists of federal monies that pass through these other entities (e.g., Sandia National Laboratories, Boeing, and Cornell University). The percentage of federal dollars flowing directly or indirectly to the campus is exceeds 70% of UCSB’s total funding for FY 99–00.

Among DoD agencies, the largest contributors are the Navy ($9.5 million), the Air Force ($5.2 million), and the Army ($4.3 million), which support basic and applied scientific research. No classified research is performed on this campus. In addition, the campus continues to strengthen its ties with the private, non-profit sector, whose support increased by 9% to $10.5 million. Industrial funding rose by 14% to $5.4 million.

The College of Letters and Science witnessed a 28% increase in awards, acquiring $34.4 million (see chart #4) by the end of the fiscal year. Geographic information scientist Michael Goodchild and colleagues contributed to this growth with a renewed five-year, $7.5 million California Department of Transportation project to improve the safety and efficiency of surface transportation. Developmental psychologist Daphne Bugental received a four-year grant from the National Science Foundation to build upon research that provides a theoretical framework for conceptualizing, predicting, and understanding child abuse. In the humanities, the five-year Digital Cultures Project, a new UC Multicampus Research
Group headed by literary and cultural scholar William Warner, brings together UC faculty and graduate students engaged with the history and theory of new digital technologies as they affect humanistic studies and the arts. Additional funding for College faculty was acquired through Organized Research Units (ORUs); see below.

With $33.4 million in awards, significant research at the College of Engineering is advancing on many fronts. Computer scientist Terence R. Smith, for example, with researchers from Letters & Science and Henry T. Yang—page 2 of 3

Engineering and from four universities, is using combined grants totaling $5.4 million from NSF, DARPA, NASA, and others to create the Alexandria Digital Earth Prototype (ADEPT) that will allow Alexandria Digital Library users to construct their own virtual libraries. To support basic research in magnetic nanostructures, the Office of Naval Research has awarded a Young Investigator grant to computational materials scientist Nicola Hill. An Air Force Multidisciplinary University Research Initiative (MURI) grant is providing five years of support to computer engineers P. Michael Melliar-Smith and Louise Moser for the Protocol Engineering Research Center.

New funding for the Donald Bren School of Environmental Science and Management, which is making a transition to the administration of its own awards, increased by 41%, reaching $2.8 million. Many of the Bren faculty awards are administered by the Institute for Computational Earth System Science (ICESS), an ORU; those awards totaled $2.1 million during FY 99–00. With a grant from NSF’s Major Research Instrumentation program, microbiologist Patricia Holden and colleagues in three colleges have acquired an environmental scanning electron microscopy (ESEM) system to support interdisciplinary research. NASA and NSF grants totaling nearly $1.3 million will fund three projects on climate change led by atmospheric scientist Natalie Mahowald.

The Graduate School of Education increased its awards by 27%, reaching a total of $3.6 million. Under a $447,000 grant from the Santa Barbara County Probation Department and UC, education faculty Shane Jimerson, Michael Furlong, and J. Manuel Casas are evaluating existing juvenile-justice services and operating a neighborhood center in order to reduce juvenile crime rates. With support from the California Board of Corrections’ Mentally Ill Offender Crime Reduction Grant Program, child clinical psychologist Merith Cosden is leading an evaluation of the Mental Health Treatment Court with Intensive Support Teams program.

Funding for UCSB’s interdisciplinary Organized Research Units (ORUs), at $36.5 million, increased by 5% over the previous fiscal year. The Institute for Social, Behavioral, and Economic Research (ISBER) witnessed a funding increase of 45%, in part as the result of NSF’s five-year $4.3 million interdisciplinary initiative, the Center for Spatially Integrated Social Science (CSISS), led by geographer Michael Goodchild and sociologist Richard Appelbaum. The Quantum Institute saw an increase of 83 percent over the previous fiscal year. A five-year Navy award of $4.1 million brings together condensed matter physicist David Awschalom and colleagues from physics, materials science, and electrical
engineering in an interdisciplinary effort to address new paradigms for quantum electronics. The Marine Science Institute’s awards grew by 21%. NSF support to marine ecologist Daniel Reed, limnologist and ecologist John Melack, and a team of terrestrial and marine scientists has helped establish MSI’s Long-Term Ecological Research site in Santa Barbara, where work will focus on the ways terrestrial runoff affects kelp forests on the west coasts of North and South America. The Center for Chicano Studies is administering UCSB’s largest W.K. Kellogg Foundation award, a $100,000 planning grant entitled ENLACE (Engaging Latino Communities for Education) y Avance, a partnership with communities, K–12 public and private school districts, businesses, and community colleges led by co-PIs sociologist Denise Segura and cross-cultural psychologist J. Manuel Casas.

The above figures derive from the Office of Research’s traditional method of recording awards: by administering unit. Viewing this data instead from the perspective of the principal investigator’s home department, however, we see significant differences for specific departments within Letters and Science (see chart #5). L&S faculty across the campus, whether submitting through their home departments or ORUs, brought in $59.4 million. This compares with $34.4 million administered by L&S departments using the traditional tracking method. This difference is largely the result of the many projects headed by L&S faculty that are administered by the ORUs. The other schools and colleges see only small changes when using this alternate approach because their faculty generally submit within their own departments/colleges.

We are sending this information to department chairs and unit heads to acknowledge their colleagues’ exceptional contributions to UCSB’s research enterprise, and to Public Affairs so that a press release may be drafted. My staff will again prepare an annual report about the research climate at UCSB, including a more detailed look at the diversity and pattern of funding. We look forward to sharing that with you this winter.

Please let me know if you have any questions or need further information.

cc:
Acting Dean Aigner
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