COMMITTEE ON RESEARCH
2012-13 Annual Report

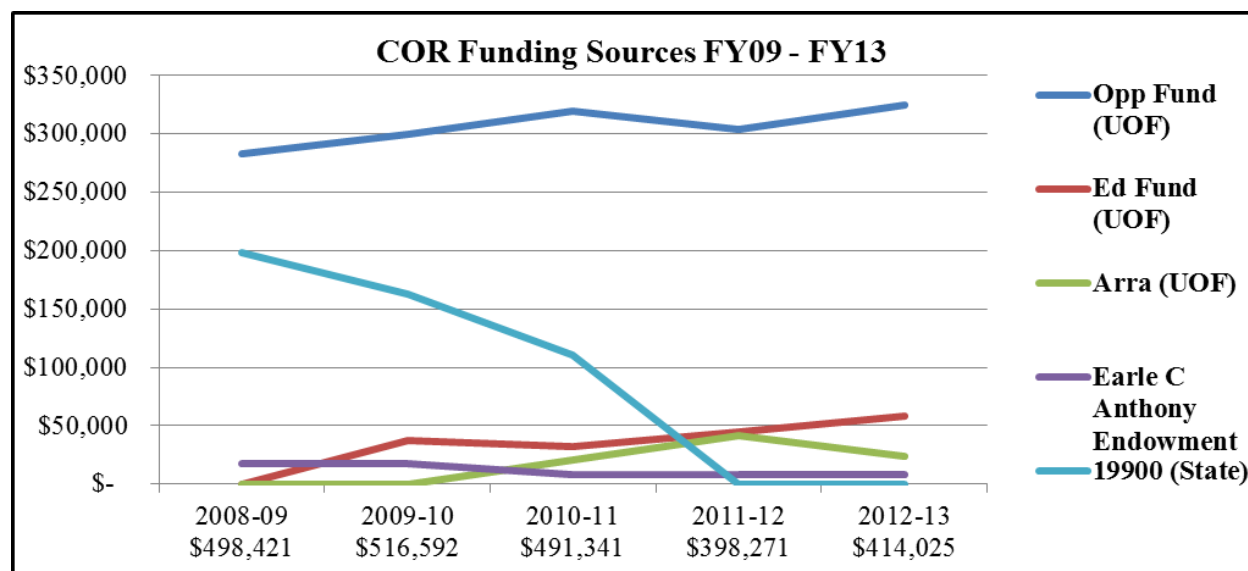To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) worked diligently during 2012-13, updating its various grant programs and consulting with a wide range of administrators on campus to better understand the state of the research mission of UCSC. COR focused on the varying levels of support for faculty researchers on campus, setting in motion a campus review of research funding at UCSC with aims of increasing direct support for faculty. These efforts were presented by the COR chair at the senate wide meeting on May 29, 2013. As will be described below, COR strongly recommends continued conversation between the administration and the relevant Senate committees in 2013-14.

COR Activities Regarding Matters of Research Policy

COR Investigation into the University Opportunity Fund
Throughout the year, the committee engaged in an investigation of the historical impact of COR grants and the continuing importance of COR support to faculty at UCSC. Over the last five years, COR has lost all of its $200,000 in state funding (light blue trace, Figure 1). During that time, the increased research productivity of the university led to the growth of COR's other budget sources, but the overall budget has fallen by over $100,000 (a 20% cut).

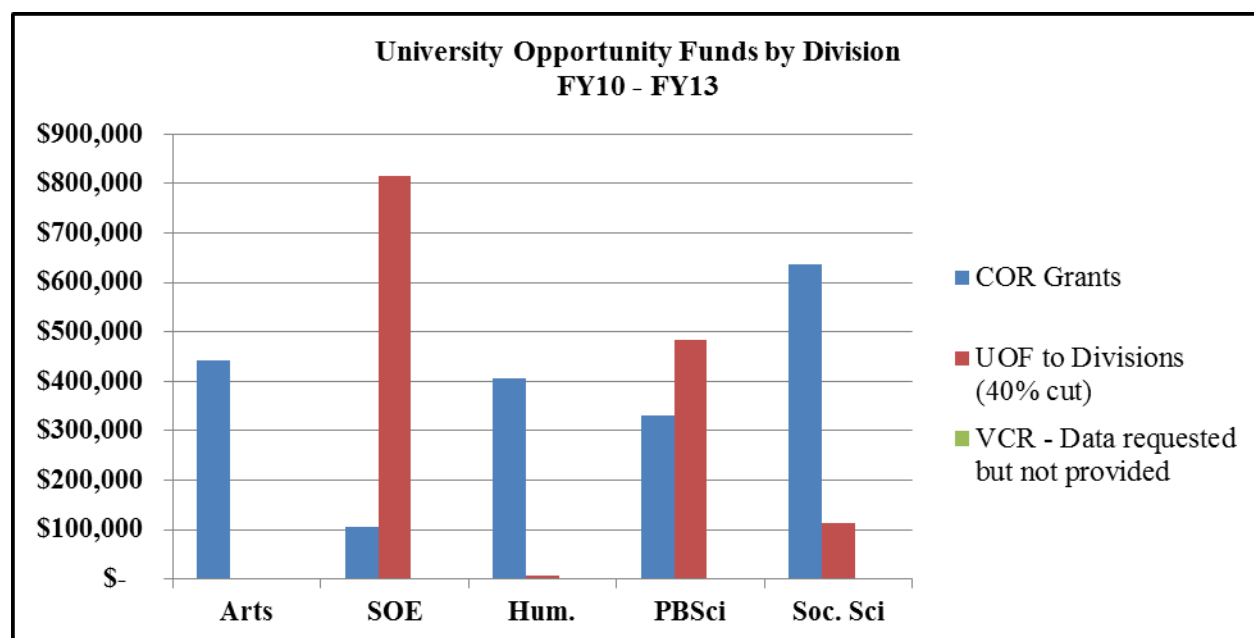Figure 1. Sources of COR funding for 2008-09 to 2012-13

COR's budget is now comprised almost entirely (~ 98%) by funds from the University Opportunity Fund (UOF). The UOF is funded from indirect cost recovery (ICR) funds. These funds, also known as "overhead," are received by the university from extramural funding sources to offset the cost of services it renders in support of grants and contracts. At present, 36% of ICR received by UCSC each year goes into the UOF. The UOF is then shared among the

academic divisions, the Executive Vice Chancellor (EVC), the Vice Chancellor for Research (VCR), and COR in a 40:40:15:5 ratio, respectively. *The distribution of the UOF has never been reviewed by the Academic Senate, nor has the rationale for the current 40/40/15/5 split ever been articulated.*

In consultation with EVC Alison Galloway on November 6, 2012, COR asked if this split could be re-examined. The EVC was open to this idea, particularly to revisiting the 15/5 split between the VCR and COR. In a follow-up consultation on May 14, 2013, COR presented a more thorough examination of the 15/5 split and argued for an equal 10/10 split in order to enhance COR's ability to support faculty research. COR also proposed a new split of 5% to be returned to the faculty members who are securing the external grants that bring ICR to campus by altering the 40/40/15/5 overall split accordingly. This "kickback" to principal investigators (PIs) is common at other universities including UCSF and UC Davis and is designed to incentivize and facilitate ICR-generating research.

A simple glance at the UOF allocations shows a greater amount going to Engineering and Physical & Biological Sciences, the divisions with greater opportunities for extramural funding. To offset this, COR has traditionally provided more support to the Arts, Humanities, and Social Sciences Divisions as a way of balancing the access to research support for UCSC faculty (Figure 2). As a result, a shift in the 15/5 VCR and COR distribution would greatly aid faculty members in the latter divisions. Reserving 5% of this 40% to return to the individual faculty PIs who generated the ICR would similarly aid faculty members in Engineering and PBSci, putting research funds directly into the hands of researchers who earn grants. This unrestricted form of money would both incentivize and facilitate research by all faculty across the campus.

Figure 2. Distribution of UOF Funds and COR Grants Awarded by Division for FY10 to 13

EVC Galloway agreed to seek more data on the use of the UOF funds by the VCR's office and the academic divisions. As this data becomes available in 2013-14, COR will continue to update the Senate. This information was presented in a report to the Senate on May 29, 2013 so that faculty could begin to discuss the possible impacts of changes to this distribution formula. Any discussion will need to closely consider both the 40/40/15/5 split of incremental changes in ICR, and of equal if not more importance, the original UOF base levels were set in 2009 without Senate consultation.

Increase in UCSC ICR Rate
In July 2012, UCSC was approved for an increase in its ICR rate. The current rate of 51% will rise 0.5% each year for the next five years. COR views this increase as a further opportunity to reexamine the use of these funds on campus. It is not surprising that the aspirations of UCOP for ICR rates in the 65 to 80% range (equivalent to MIT, Stanford, Johns Hopkins, etc.) were not approved, given the large reduction in research infrastructure and support over the last few years.

Composite Benefit Rates
Fringe benefit rates at UCSC range from 8% to 110%, due to the wide variety of positions that are paid from grant money. UCOP is trying to mandate a set of composite benefit rates to simplify, they claim, the accounting and avoid undercharging or overcharging grants. The new composite rates would apply to both new proposals and existing grants. From an in-depth study from the Vice-Chair of the Academic Council, PIs will have ~ $16M less money systemwide for the actual research due to higher benefit rates.

COR took issue with the university's plan to impose the normal academic year composite benefit rate (~ 33%) on faculty summer salary. The current benefit rate for summer salary is ~ 14%, and COR could find no justification for charging faculty the higher rate of 33%. On June 5, 2013, the committee contacted all UCSC faculty with external awards to alert them to the impending change. In response, Vice Chancellor for Planning and Budget Peggy Delaney assured the committee that UCSC plans to establish a transition fund for faculty grants that were approved before the higher composite benefit rate was in place. As of this writing, composite benefit rates have yet to be implemented. *This ongoing issue will require the attention of the 2013-14 COR.*

UC Portfolio Research Group (PRG) and Review of APM – 241
COR closely followed the interactions between the University Committee on Research Policy (UCORP) and UC Vice President for Research and Graduate Studies (VPRGS) Steven Beckwith. In 2012-13, VP Beckwith established the UC Portfolio Research Group (PRG) to examine research funding from UC Office of the President (UCOP) and set research priorities. COR was skeptical about the makeup of the PRG, as members seem to have been hand-picked by VP Beckwith. Also, the proceedings of the PRG are not transparent. COR's heightened interest in UCOP's research decision stem from the 2011-12 review of the UC Observatories (UCO). Despite overwhelming UCO support from the Senate, VP Beckwith created a new governance structure. COR felt that the UC Astronomy Board was also set up in an entirely opaque manner, with members carefully selected that are not supportive of UCO. With the lack of a UCO Director as of July 1, 2013 upon the retirement of Professor Sandra Faber, this issue will need to be closely followed by COR in 2013-14. The UCO budget is in place for 2013-14, but it is not clear for the subsequent years. Professor David Koo (COR member for 2011-12 and

2012-13) would be an ideal contact point for COR to discuss issues that come up regarding UCO.

This mistrust between the VPRGS and UCO resurfaced in 2012-13 as COR was asked to comment on proposed changes to Academic Personnel Manual (APM) – 241 Faculty Administrators (Positions Less Than 100%). Specifically in question was the process for selecting the director of Multi-campus Research Units (MRU). The proposed revisions would bring APM – 241 into conformance with Regents Policy and the Compendium of Universitywide Review Processes for Academic Programs, Academic Units, and Research Units. COR was concerned that the proposed revisions did not guarantee that members of the MRU director search committee would be chosen by the Senate. Also, the revisions made the search committee merely advisory, limiting its ability to influence the actual appointment. Finally, the revisions could give the chancellor of an MRU's home campus no purview in the final appointment of a director. COR expressed these concerns in its response to APM – 241 sent on May 30, 2013. UCO has no director as of this writing, so this issue will arise again next year.

Office of Research Self-Study
In preparation for an external review that had been planned for 2012-13, the UCSC Office of Research (OR) prepared a self-study to be reviewed by the Senate. The Self-Study was shared with COR on November 8, 2012, with the expectation that the results of a stakeholder survey would be made available by the end of the fall quarter. The results of the survey were never shared with the Senate, but multiple requests from COR to the office of the Vice Chancellor for Research (VCR) did result in the raw responses for COR review only in April 2013. The survey and its responses proved inconclusive and offered little by way of critically reviewing OR.

On January 16, 2013, COR sent its formal response to the OR Self-Study, noting several serious issues with the seeming lack of detailed study or quantitative data that could be found in the document. Using personal experience as faculty researchers and with colleagues, the committee pointed out key issues that ought to be addressed in the subsequent external review. VCR Bruce Margon took issue with most of the points in COR's response to the Self-Study, and met with the committee on April 2, 2013 to discuss these points. COR concluded that though some details of the committee's response to the self-study may be called into question, the self-study itself provided an inadequate view into the operations of OR.

The external review of OR was cancelled by the EVC in spring 2013. COR was frustrated with this development, hoping to see a more serious inquiry into the office and its support of faculty.

VCR Search
VCR Margon indicated in summer 2012 that he would exit his position and return to the faculty in June 2013. This initiated a nationwide search for a new VCR, an endeavor in which COR was involved *via* representation of the COR chair on the search and interview committee. Though two finalists visited the campus for presentations and interviews, neither was selected for the position. UCSC professor of computer science Scott Brandt was appointed as interim VCR on June 18, 2013 and has already had encouraging, open discussions with the incoming and outgoing COR chairs.

A new VCR search will be launched in 2013-14 and COR will work to be as involved in this process as this year. COR also looks forward to restructuring its interaction with the office of the VCR.

The Office of Research as a Service Unit for Faculty
COR recommends that the new VCR and incoming COR work together to improve the support of the VCR's office for PIs' navigation through UCSC's sometimes unwieldy rules and system for submitting and administering grants. COR members had many examples of frustrating and time-consuming dead ends and red-tape within the UCSC process (some of which is under the VCR's office and some not).

The outgoing COR has two recommendations: 1) That the incoming COR sponsor 2 or 3 focus groups of about 8 to 10 PIs across divisions, to consider the possible sources of dead ends, and for staff to redact the transcripts of the focus groups for improvement of the process. EVC Galloway expressed her support for this idea during consultation on May 14, 2013; 2) That the incoming VCR mount a 'trouble' webpage for PIs to get help from the VCR's office when they reach dead ends, both to help the PIs around the obstacles and to help the VCR's office improve the process (within and outside the VCR's office). In effect, we recommend that the VCR's office serve more as an advocate for PIs.

Consultation with UCSC Deans
Throughout the fall and winter quarters, COR consulted with the deans of the five divisions at UCSC, working to strengthen ties between the committee and the divisional leadership. With each dean, the committee discussed research priorities, research centers and collaborative efforts, COR grant support, aspirational graduate growth, and interactions with the Office of Research. COR was particularly impressed by the webpages and promotional materials from the Arts and Humanities Divisions, which creatively display the research efforts of faculty members in those areas. These websites were also obviously up to date, providing COR and any outsider with a current picture of research in the division.

COR also provided each dean with a snapshot of COR support to their division over the last five years. Part of that information can be found in Figure 3.

Figure 3. COR Support By Division 2008 – 2013

Division	Total COR Support 2008-2013
Arts	$660,549
Engineering	$166,746
Humanities	$610,284
Physical & Biological Sciences	$487,330
Social Science	$970,445

UC Open Access Policy
COR reviewed the proposed Open Access Policy drafted by the University Committee on the Library and Scholarly Communication (UCOLASC) and sent to the campuses for comment in August 2012. COR was supportive of the philosophy of open access, as many major granting agencies such as the National Institutes of Health (NIH) have adopted similar polices for research they fund. COR could not, however, support the proposed UC policy.

The policy will likely harm research by shifting future costs from the university library budgets to faculty authors. The issue is not faculty PIs choosing to publish in open access journals, which are currently expensive and very low impact factor. Rather, the concern is about journals that are subscription based. At present, these journals—which have high impact factors and thus are the desired choice in which to publish—receive their payments in the form of subscription fees from university library budgets. A primary motivation of the UC Open Access Policy is a reduction or elimination of journal subscription fees incurred by the UC Libraries. If all universities shift to open access, subscription income will eventually fall and these journals will have to make up the difference. COR believes the difference will be charged to the authors, as this will be their only choice.

In order to better understand the policy, COR chair Scott Oliver met with the UCSC Committee on the Library and Scholarly Communication (COLASC) on March 5, 2013. COLASC and COR exchanged correspondence, agreeing that more cooperation and communication between the two groups is necessary in 2013-14, given the close ties between research, the library, and scholarly publishing.

The proposed policy was edited and sent back for expedited review on May 30, 2013. Though COR's final scheduled meeting for the year was May 28, 2013, the committee responded to the review, reiterating its reservations about the policy. The long-term effects of the policy do not seem to have been considered by UCOLASC or UCOP. For instance, many journals in the Arts and Humanities depend completely on subscription fees and, in a few rare cases, advertising. These journals have no backup if libraries, their main subscribers, fail to subscribe. Further, if open access is going to bring about meaningful change, and not just shift the burden of cost, then UC must have a clearly articulated vision of the role that this proposed policy will play in changing the publishing and research industries.

The UC Open Access Policy was formally adopted in July 2013. COR will monitor the effects of the policy on the pilot campuses throughout 2013-14.

 COR Grant Programs

In 2012-13, COR had two funding sources: the University Opportunity Fund (UOF)—with three components—and a small amount from the Earle C. Anthony Endowment (Figure 4).

Figure 4. COR Budget Sources and Expenditures for 2012-13

Budget Source	Amount
Opportunity Fund (UOF) – ICR from federally funded grants	$324,528
Education Fund (UOF) – ICR from privately funded grants	$57,892
ARRA Funds (UOF) – American Recovery and Reinvestment Act	$23,524
Earle C. Anthony Endowment	$8,081
TOTAL	$414,025

Expenditures	Amount
Faculty Research Grants (FRGs)	$143,668
Special Research Grants (SRGs)	$110,815
New Faculty Research Grants (NFRGs)	$13,840
Scholarly Meeting Travel (SMT)	$142,408
TOTAL	$410,731

Though the total budget ($414,025) was slightly higher than the 2011-12 total budget ($398,271), the committee chose to keep all limits of research program funding consistent with 2011-12. COR is hopeful that the discussion that began this year around the split of the UOF will lead to an increase in COR funding and thus an increase in direct support of faculty researchers.

Faculty Research Grants (FRGs) and Special Research Grants (SRGs)
Each year, COR solicits applications for its two research programs: Faculty Research Grants (FRGs) and Special Research Grants (SRGs). These grants often provide seed funding for new research and especially help new faculty as they establish their individual research careers. The grants are selective *via* peer review (Figure 5). Without these grants, many faculty would need to choose between covering their research expenses out of pocket or abandoning their projects. COR dedicated much of its time in the fall quarter to updating the guidelines and application for the two research grant programs. Guidelines and fundable expenses were streamlined in order to make the application process as faculty-friendly as possible.

The committee also approved a new timeline for applications and review of its two research grant programs. In order to give faculty members more time to plan their research as well as spend the funds in the following year, applications for FRGs and SRGs were opened on December 1, 2012 and closed on January 22, 2013. With the new timeline, COR saw an increase in faculty applications and the total amount of support requested. These numbers, though, remain far below other recent years (Figure 5). COR attributes this decrease to the lower grant limits that were a result of cuts to COR's budget.

Figure 5. FRG/SRG Applications and Requested Funds 2008-09 to 2012-13

	2008-09	2009-10	2010-11	2011-12	2012-13
FRG	146	128	127	84	112
SRG	53	45	45	24	47
TOTAL Apps	199	173	172	108	159
FRG Funds Req.	$252,036	$205,306	$253,479	$130,386	$181,244
SRG Funds Req.	$687,456	$526,108	$423,438	$158,706	$324,362
TOTAL Funds Req.	$939,492	$731,414	$676,917	$289,092	$505,606

COR adjudicated the 2012-13 applications in February 2013. FRGs were limited to $1,500 ($2,000 for junior faculty) and SRGs were limited to $8,000. Overall, COR felt that the quality of the submitted proposals for both FRGs and SRGs was very high. Many of the submitted proposals asked for funding toward the completion of important ongoing scholarly work, while others aimed at initiating new research projects or preparing proposals for major extramural grants. FRG and SRG awards are available to faculty for the following fiscal year. So for awards adjudicated in 2012-13, faculty will be able to spend their funds July 1, 2013 – June 30, 2014. In this sense, 2012-13 applications are for 2013-14 awards.

Figure 6. Summary Statistics on the 2013-14 FRG and SRG Awards (adjudicated in 2012-13)

Division	SRG apps requested	SRG apps funded	SRG amount funded	FRG apps requested	FRG apps funded	FRG amount funded
Arts	15	6	$25,350	29	23	$35,765
Engineering	3	1	$6,000	4	2	$3,000
Humanities	4	2	$10,550	27	25	$38,184
PBSci	13	6	$32,229	17	12	$19,760
SocSci	12	7	$36,686	35	31	$46,959
Total	47	22	$110,815	112	93	$143,668

New Faculty Research Grants (NFRGs)
In order to give new faculty immediate access to research dollars, each year COR runs the New Faculty Research Grant (NFRG) program. Unlike the FRGs and SRGs, which are awarded for the following fiscal year, NFRGs are awarded for the current fiscal year. Essentially, an NFRG award gives new faculty access to the previous year's FRG program, because they were not faculty at UCSC at the time FRG applications were due. NFRG applications were made available on October 15, 2012 and were due on November 21, 2012. All requests were funded (Figure 7).

Figure 7. Summary Statistics on the 2012-13 NFRG Awards

Division	NFRG apps requested	NFRG apps funded	NFRG amount funded
Arts	0	0	$0
Engineering	0	0	$0
Humanities	2	2	$4,000
PBSci	1	1	$2,000
SocSci	4	4	$7,840
Total	**7**	**7**	**$13,840**

Future Application System
COR worked throughout the year with ITS Project Manager Leslie Geary to develop a new COR grant application portal to be launched in 2013-14. The new system will replace the current method of running the application through Survey Monkey and the adjudication through FileMaker Pro. COR is excited for the continued development of this new system and the efficiencies it will bring for both the committee and faculty researchers.

Scholarly Meeting Travel (SMT)
The other grant program offered by COR supports faculty travel to scholarly meetings throughout the world (Figure 8). COR overhauled the Scholarly Meeting Travel (SMT) guidelines and implemented a new application portal in fall 2012. The committee approved four major changes:

- Department Chair signatures will no longer be required on the application but Department Chairs will be cc'd on all SMT award notification e-mails;
- A flat award of $700 will replace the $650/$1,000 award structure on July 1, 2013 and will affect all travel after that date;
- Non-Senate members will no longer be eligible for SMT; the application guidelines will provide a link to the Non-Senate Faculty Professional Development Fund, which provides support for travel of non-Senators;
- Requests for SMT must be made at least fourteen calendar days in advance of travel.

On November 5, 2012, these changes were shared with the Senate along with the new online application system. Designed using Google Forms, the online SMT application system replaced the existing paper system, streamlining the process for faculty applicants.

Figure 8. Summary Statistics on the 2012-13 SMT Awards

Division	SMT apps funded	SMT amount funded
Arts	30	$23,700
Engineering	9	$7,250
Humanities	41	$31,158
PBSci	31	$28,550
SocSci	64	$51,750
Total	**175**	**$142,408**

Intercampus Travel Fund

In addition to supporting faculty travel to scholarly meetings, COR also offers limited support for faculty and graduate student travel to encourage cooperative use of the research facilities, library resources, and field stations of the UC system. These funds are also to encourage collaboration with colleagues at other UC campuses. COR updated the policies of these funds, known as Intercampus Travel Funds. In addition to a new online portal, there were five major changes:

- Applications must be submitted online at least fourteen (14) days in advance of travel;
- Funds may only be used for transportation and lodging, to a maximum amount of $250;
- Faculty may receive intercampus research funds only once every two years;
- Faculty sponsorship of a graduate student will count as that faculty's biennial award;
- Eligibility is limited to full-time members of the Academic Senate and graduate students advanced to candidacy under the sponsorship of a member of the Academic Senate;
- Post travel reimbursement forms are due to the faculty's divisional business office ten (10) days after he/she returns to campus.

The new application for the Intercampus Travel Fund was made available on July 1, 2013.

Other COR Business

COR Bylaw Change

At the October 19, 2012 Senate meeting, a change in COR membership (Bylaw 13.27.1) was approved, allowing for a graduate student member of the committee. Graduate students play an important role in the research activities on campus, and they are directly impacted by the issues discussed by COR. In 2011-12, COR extended a standing invitation for a graduate student representative and found it beneficial. These benefits continued through 2012-13 with an official graduate student member on COR.

Other Issues
COR discussed and commented on several system-wide policies:

- Review of Negotiated Salary Proposed Pilot Plan (10/25/12);
- Review of APM 700 – Leaves of Absence (10/25/12);
- Review of Systemwide Rebenching Report (10/31/12);
- Review of APM 430 – Visiting Scholars (10/31/12);
- Review of Proposed Open Access Policy (11/26/12);
- Review of Proposed Anti-Plagiarism Software for UCSC (2/15/13);
- Review of Updated Draft Wi-Fi Policy for UCSC (2/15/13);
- Review of CAPM 500.205 – Recall of Academic Appointees (2/21/13);
- Review of APM 600 – Salary Administration (5/3/13);
- Review of APM 241 (5/30/13);
- Review of Updated Proposed Open Access Policy (6/28/13).

Respectfully submitted;

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