

COMMITTEE ON RESEARCH Annual Report 2011-2012

To the Academic Senate, Santa Cruz Division:

I. COR Activities Regarding Matters of Research Policy

A. Reviews of Research/Support Units

UCO/Lick

Throughout the year, COR closely followed the review of University of California Observatories (UCO) conducted by the UC Office of the Preside (UCOP). UCO Lick funding, which is allocated centrally from UCOP, has so far been sheltered from large budget cuts. The Vice President of Research and Graduate Studies, Steven Beckwith, has conducted several reviews of UCO over the past few years, all of which were positive. The UCSC Senate considered the final UCO review in the winter quarter and COR solicited feedback from all UCO and UCSC astronomy and astrophysics faculty as well as affiliated faculty and lecturers. This information expressed overwhelming positive support for the UCO and Astronomy faculty, and was included in the UCSC Senate's response to Academic Council. UCO is an invaluable system-wide resource that has catapulted UC astronomy into a world leader in that field. The funding model has been successful in supporting UCO and given the positive reviews of the unit, there is not a sound rationale for making the sweeping changes that VP Beckwith proposes. The existing deficit of UCO is due to organizations not covering salary merit increases since 2008, as was agreed upon in a Memorandum of Understanding of 2003.

In May 2012, VP Beckwith followed through on the recommendation of the UCO External Review Committee to create a new governance structure for UCO. The so-called UC Astronomy Board would advise the Vice President of Research and Graduate Studies (VPRGS) on all aspects of UC Astronomy, including allocation of funds, research directions, and choice of UCO director. Feedback was requested only from UCORP and the Senate. In its response, COR expressed uncertainty about many aspects of both the plan and the makeup of the new proposed UC Astronomy Board. Over half of the Board would be administrators or UCOP staff. The Board would not have the expertise to guide the research directions. Moreover, it conflicts with the existing UCO Advisory Committee, comprised of system wide astronomers from all eight astronomy-related UC campuses. The UCO Advisory Committee is not even mentioned in the draft charge of the UC Astronomy Board.

B. Update on Silicon Valley Research

Continuing a relationship forged in previous years, COR consulted with Gordon Ringold, Senior Director of Silicon Valley Initiatives, in the fall quarter. Dr. Ringold discussed the University Extension Program and the University Affiliated Research Center (UARC). COR expressed concern that grant funding from the NASA AMES partnership is rarely available to UCSC faculty. Also, COR conveyed concerns that the UARC collaborative grant may not be renewed (in 2010-11 the grant was in year nine of ten) due to the lack of interaction between AMES and

UCSC. Loss of this funding would lead to a campus loss of at least \$4 million in indirect cost recovery. A recent meeting involving AMES researchers and UCSC faculty have shown the possibility that the partnership can be revitalized. Effort has to come from both sides and be facilitated by the office of Silicon Valley Initiatives. Despite requesting a response, a memo from COR to Director Ringold remains unanswered.

COR also reviewed the UCSC Strategic Academic Plan for Silicon Valley. The plan lacked concrete funding sources and there was no mention of intellectual property/nondisclosure issues. In general, COR views Silicon Valley as an exciting new frontier for the university and believes the academic plan would benefit from greater organization, context and inclusion of on-going research across the campus.

C. Possible Regional Data Center Funding at the UCSD Supercomputer Center

In 2008-09, the office of the Executive Vice Chancellor (EVC) made available approximately \$1,000,000 for use over a five year period (an average of \$200,000 per year) to subsidize users at UCSC who wish to utilize the Regional Data Center at the San Diego Supercomputer Center (SDSC). The funding would be used to house computing, storage or other power- and cooling-intensive computer operations. At current rates, this amount would support the power, heat requirements and maintenance for approximately 20 racks of computer equipment.

The allocation was mandated by UCOP. The rationale for this allocation is that current Data Center capacity at UCSC is largely filled and the SDSC presently has available and accessible space for UC users. Vice Chancellor of Research (VCR) Margon explained that this money cannot be used by the campus for any other endeavors. COR requested and received updates from the EVC and Vice Chancellor for Information Technology (VCIT) Mary Doyle. The VCR recommended and COR concurred with setting aside the funds for “tenant’s fees”. These funds would be used in certain cases where electricity and cooling are needed, for example, or for new hires or new grants that require new clusters of computers.

D. Relations with the Vice Chancellor of Research (VCR) and Office of Research

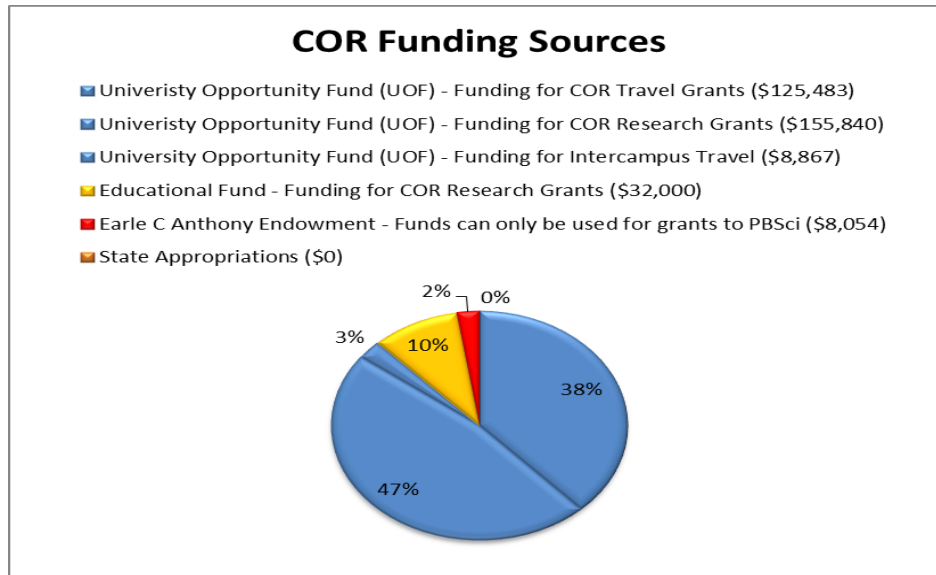
The 2011-12 Committee on Research continued its interaction and coordination with VCR Bruce Margon, who attended a large number of COR meetings as a guest, participated in discussions, and on several occasions sought COR’s input on matters of research policy.

II. COR Budget and Grants Programs

A. COR Funding Sources

In 2011-12, COR received funding from three sources (see Chart 1). Eighty-eight percent of funding came from the University Opportunity Fund (UOF), which is comprised of Indirect Cost Revenue (ICR) received from federally funded grants. The next source of funding was the Educational Fund, which is comprised of ICR from privately funded grants. The last source of funding was the Earle C Anthony Endowment, which provides a small amount exclusively for use in the field of Physical and Biological Sciences.

Chart 1. 2011-12 COR Funding Sources



B. COR Budget

COR has received a series of cuts to its permanent funding allocation over the last several years. Cuts in 2008-09 (\$2,900), 2009-10 (\$41,145), 2010-11 (\$45,900) and 2011-12 (\$140,000) have resulted in a total reduction of \$229,945 to COR's base funding in the past four years.

The total amount of 2011-12 funds allocated to COR was \$330,244. The allocated funds fell nearly \$100,000 short of COR's projected 2011-12 expenditures of \$430,268 (\$305,268 in grants and \$125,000 in travel funds), meaning that COR was not be able to fund grants at historical levels. COR seriously considered suspending the Special Research Grants (SRGs) Program in the 2011-12 year. Instead, COR decided to reduce SRG maximum amounts by nearly half (from \$15,000 in 2010-11 to \$8,000 in 2011-12) and continue the program.

UCSC COR funding continues to slip behind levels of the late 1980s and early 1990s. It also remains well below funding levels at most other UC campuses (as documented in the COR 2004-05 annual report and the 2002-03 report on COR funding levels).

In light of this, COR sent a memo to EVC Allison Galloway in June 2012 requesting a commitment from the office of the EVC for a modest restoration of COR funds over a three year period. Citing the integral role of the research enterprise on campus in meeting the aspirational graduate enrollment targets assigned through system-wide rebenching, COR requested permanent allocations of \$50,000 per year for three years beginning in 2012-13. The EVC Galloway responded that her office was unable to provide the requested funding due to continuing budget uncertainties. COR will pursue this matter again if/when rebenching occurs.

C. COR Grants Programs

COR continued to fund three primary grant programs during the 2011-12 year: Faculty Research Grants (FRGs), Special Research Grants (SRGs), and Scholarly Meeting Travel (SMT). The FRGs and SRGs were awarded in the spring quarter, whereas SMTs were awarded throughout the fiscal year. Total funding rewarded by these programs was \$330,267. The 2011-12 budget also funded the FRGs awarded by the 2010-11 COR during spring 2011, a long-standing accounting practice that COR decided to end after this year. These FRGs totaled \$146,480 (Table 1), bringing the total expenditures of COR for 2011-12 to \$476,747 (Table 1).

Table 1. Summary of COR Research Expenditures during the 2010-11 Fiscal Year

Category	Amount	Comments
FRG (awarded in Spring 2011 by the 2010-11 COR)	\$146,480	All paid with 2011-12 funds
NFRG (awarded in Fall 2011 by the 2011-12 COR)		
FRG (awarded in Spring 2012 by the 2011-12 COR)	\$108,161	
SRG (awarded in Spring 2012 by the 2011-12 COR)	\$83,132	
SMT (awarded throughout the year by the 2011-12 COR)	\$138,974	
Total expenditures	\$476,747	

As noted above, the 2011-12 COR chose to fund the FRGs adjudicated in the spring of 2012 with current year funds (2011-12) rather than the usual COR practice of delaying payment until 2012-13. This decision represents a shift in administration of the accounts and was paid for with one-time partial year savings and carry forward funds. COR believes that this decision will lend much clarity to their yearly budget.

Last year (2010-11), the ‘basic’ award for FRGs and NFRGs was \$2,000 (maximum) for tenured faculty and SOE lecturers, and \$2,500 (maximum) for junior faculty. This amount represented an increase over the 2009-10 awards and was designed to make the applications slightly more competitive. The 2011-12 COR, faced with significant budget cuts, decided to drop the maximum awards for FRGs and NFRGs back down to \$1,500 and \$2,000 for junior faculty. 2010-11 SRG awards ranged between \$2,000 and \$15,000 (\$12,000 maximum for individual projects and a \$15,000 maximum for collaborative projects). In order to keep the SRG program available to faculty, the 2011-12 COR reduced the maximum SRG award to \$8,000. COR agreed on the importance of SRGs and tried to keep the award amount at a level that would still allow a more in-depth study. The approximate average SRG award amount was \$5,200, down from an average of \$7,500 in 2010-11. SMT funding remained limited to \$650 per year with a request of up to \$1,000 available every third year.

The large majority of FRG and SMT requests were funded in full. Although there are restrictions on use of these funds, applicants that followed the instructions and properly justified their requests were generally funded.

This year, COR received 24 proposals from the SRG competition, a decrease from the previous year (37) and a sharp decline from two years ago (45). COR received 84 proposals for the FRG competition, also down from the previous year (127) and far below the number from two years ago (155). COR believes the reasons for this are several fold: (i) implementation of a new website for proposal submission that was streamlined but had a new series of questions to answer (this system will be revamped for 2012-13); (ii) the disincentive of the smaller award amounts; (iii) increased faculty workload over the last several years due to the broader fiscal crisis in the UC system. The crisis has translated into, amongst other things at UCSC, decreased administrative support, larger classes and fewer teaching assistants.

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.

Table 2. Summary Statistics on 2011-12 FRG Awards adjudicated in 2010-2011

Division	FRG apps requested	FRG apps funded	FRG amount funded
Arts	35	32	\$43,686
Engineering	2	2	\$2,475
Humanities	36	29	\$37,852
PBSci	20	16	\$23,063
SocSci	34	31	\$39,404
Total	127	110	\$146,480

FRG awards listed above in Table 2 were made by the 2010-11 COR but, as noted earlier, were paid with 2011-12 funds. In Table 3 below, the FRG and SRG awards were made by the 2011-12 COR and paid with 2011-12 funds.

Table 3. Summary statistics on the 2012-13 FRG and SRG Awards adjudicated in 2011-12

Division	SRG apps requested	SRG apps funded	SRG amount funded	FRG apps requested	FRG apps funded	FRG amount funded
Arts	12	5	\$35,373	26	24	\$36,731
Engineering	1	0	\$0	2	1	\$1,500
Humanities	3	3	\$16,500	19	15	\$22,098
PBSci	3	2	\$7,409	9	6	\$10,000
SocSci	5	4	\$23,850	28	26	\$37,832
Total	24	14	\$83,132	84	72	\$108,161

Table 4. Summary Statistics on the 2011-12 SMT Program

Division	SMT apps funded	SMT amount funded
Arts	27	\$22,100
Engineering	7	\$5,600
Humanities	53	\$43,200
PBSci	25	\$20,450
SocSci	66	\$47,624
Total	165	\$138,974 (\$2,723 of total was intercampus travel)

Now that both the SRG and FRG grant programs will be funded in the same fiscal year, COR has the opportunity to change the timing of the funding cycle. COR agreed to the following schedule for next year's SRGs and FRGs (dates are approximate):

Fall Quarter: Review and approve criteria and application website
 Open application period from December 1 through January 20

Winter quarter: COR adjudication of applications (February)
 Notification of Award by March 15-30

This cycle will allow greater alignment of faculty time (for both proposal preparation and conducting the research) and the funding period. **Faculty will need to take note that the cycle is significantly moved forward in the academic year. Notification of the application period will be forthcoming in 2012-13.**

III. Other COR Business

COR discussed and commented on several system-wide policies:

- Review of APM 668 – Negotiated Salary Review (11/17/11)
- Review of ITS External Review (10/14/11)
- Review of CAPM 408.220 – Proposed changes to Mid-Career Appraisal (4/27/12)
- Review of CAPM 512.280 – Proposed Changes Adjunct Professor Series (5/16/12)
- Review of proposed Wi-Fi Policy from ITS (5/25/12)
- Review of APM 010, 015, 016 – Proposed Changes to University Policy on Academic Freedom, Faculty Code of Conduct, and Administration of Discipline (5/31/12)
- Review of proposed changes to campus course time slots (10/14/11; 5/31/12)

IV. Outstanding COR Business

COR is carrying forward many important orders of business into the 2012-13 year. Amongst these items:

- COR membership: COR invited a representative from the Graduate Student Association (GSA) to most of its meetings this year. COR is thus considering a change in the committee charge to allow for a sitting graduate student representative.

- SMT: clarify the criteria and limits (if any) for Intercampus Travel.
- Clarify the criteria of the Scholarly Meeting Travel program.
- Review the instructions, rules and new submission website for FRGs/SRGs
- Off-the-top (OTT) funding split: re-examine the current allocation model for OTT distribution to academic divisions, VCR, central administration and COR.
- Aspirational graduate growth funds, through implementation of system-wide rebenching, will lead to more graduate support. COR will consult with the Graduate Council and the Graduate Dean on planning the use of these funds.
- Undergraduate participation in research: working with the VPDUE, COR will further explore funding options for undergraduate participation in research.
- Consultation with Deans: COR plans to consult with the Deans of the Academic Divisions to understand their research priorities and the role of COR in supporting campus research.
- Social Sciences Task Force on Agroecology, Food Systems, Florae and Sustainability: COR agreed to propose that the Task Force Report be reviewed by the entire Senate.

V. COR Senate Support

COR could not have functioned without the dedicated and superb support of Academic Senate Director, Mary-Beth Harhen. COR is extraordinarily grateful for her conscientious and insightful contributions to the committee.

Respectfully submitted,
COMMITTEE ON RESEARCH
Elisabeth Cameron
Nathaniel Deutsch
David Koo
Sri Kurniawan
Deborah LeTourneau
Debra Lewis
Barbara Rogoff
Hamid Sadjadpour
Scott Oliver, Chair

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