

COMMITTEE ON RESEARCH

Annual Report 2013-2014

To: Academic Senate, Santa Cruz Division

The Committee on Research (COR) worked diligently during 2013-14, evaluating proposals and making awards through our various faculty research grant programs (NFRG, FRG and SRG) using our newly revised application and review system and consulting with the new Vice Chancellor of Research and the academic deans in an effort to assess and enhance the research environment at UCSC. The committee monitored evolving systemwide negotiations regarding composite benefit rates, presenting our concerns about the potential impact of proposed options on faculty research budgets and graduate student support to the Senate at the February 2014 meeting. In addition, COR followed up on the work started by the 2012-13 committee by examining how university opportunity funds are being used to support campus research through the Office of Research, the academic divisions and the Baskin School of Engineering, which we reported on to the Senate at its Spring meeting.

I. COR Activities Regarding Matters of Research Policy

COR Investigation into the University Opportunity Fund

In recent years, the combination of decreased state funding and increased faculty research productivity has resulted in indirect cost receipts (ICR) becoming the primary source of internal research support at UCSC. Given this situation, COR supports the need for increased transparency and accountability for how such funds are distributed and used across campus. ICR funds, also known as “overhead,” are received by the university to offset the cost of services it renders in support of Federal contracts and grants. At UCSC, ICR funds go into three “buckets”: Off-the-Top Fund; University Opportunity Fund (UOF); and General Fund Support. The percentage of the annual incremental change in ICR (relative to a base budget set in 2009) that is added or subtracted to each bucket (20%, 36%, and 44% respectively) is set by systemwide policy. Currently, 36% of the annual incremental change in Federal ICR is used to support opportunity funding. Within this funding pool, 40% goes to the academic divisions according to the ICR generated, 40% is held centrally, 15% is distributed to the Office of Research, and 5% goes to COR to fund the faculty research grants (NFRG, FRG and SRG) and scholarly travel fund programs (Figure 1). Given recent cuts in state funding, these opportunity funds now make up approximately 98% of COR’s annual budget for support of faculty research and scholarly travel.

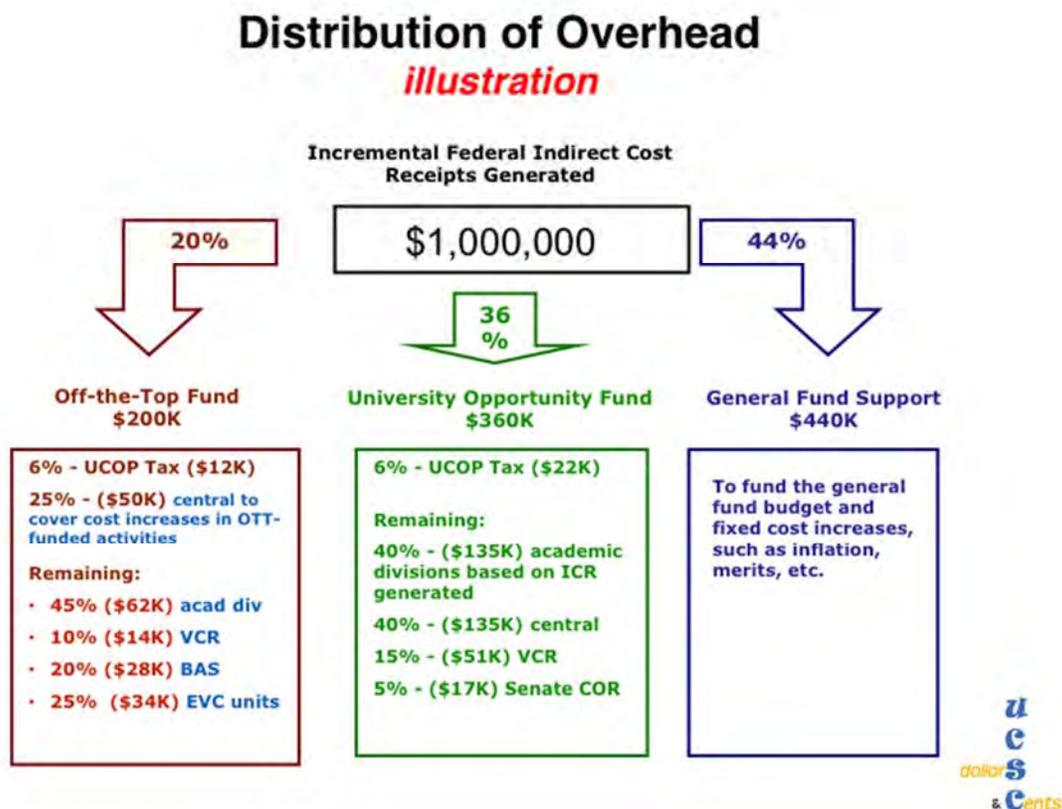


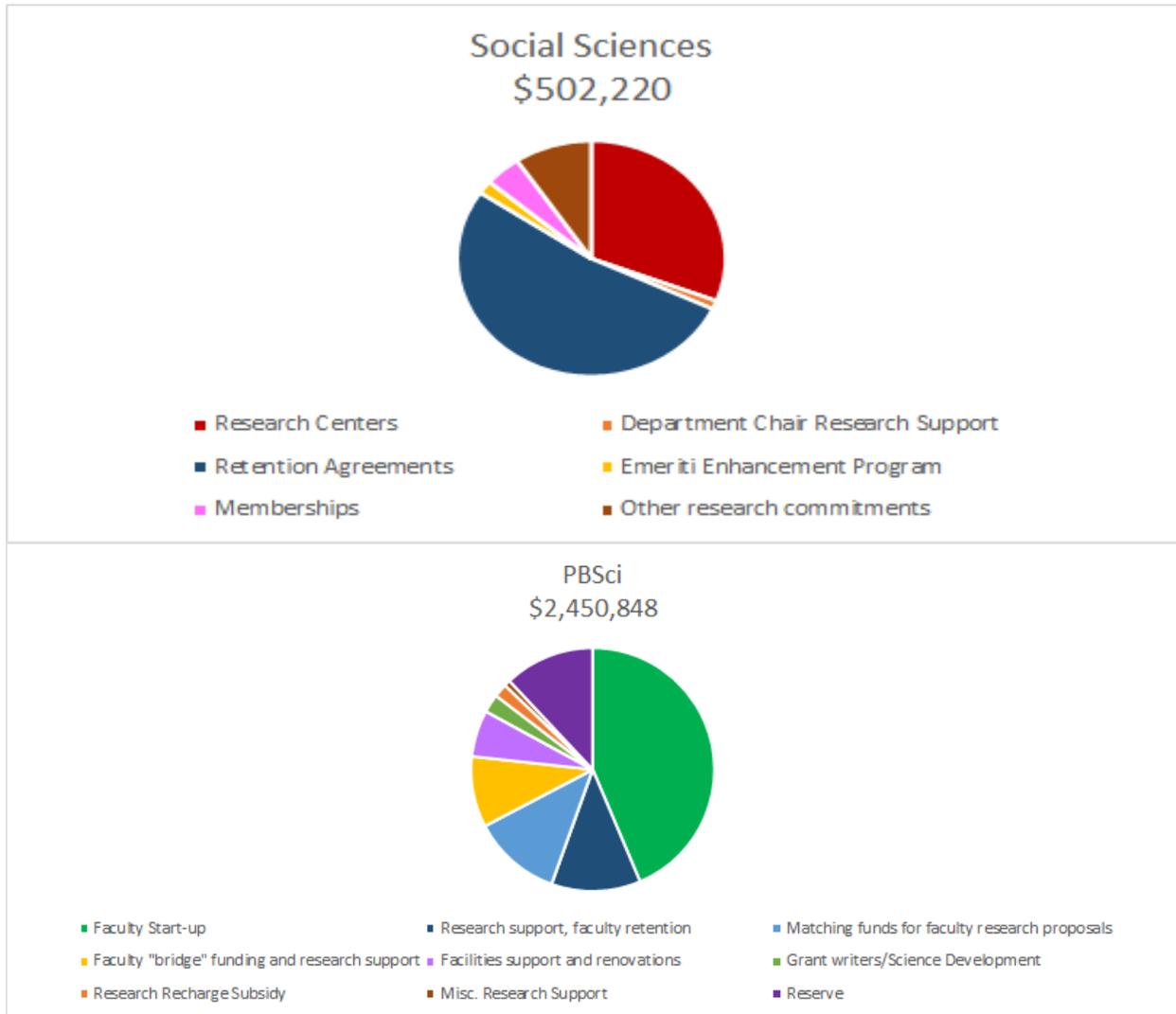
Figure 1: Illustration of distributional model for allocating incremental Federal Indirect Cost Receipt (ICR) revenues.

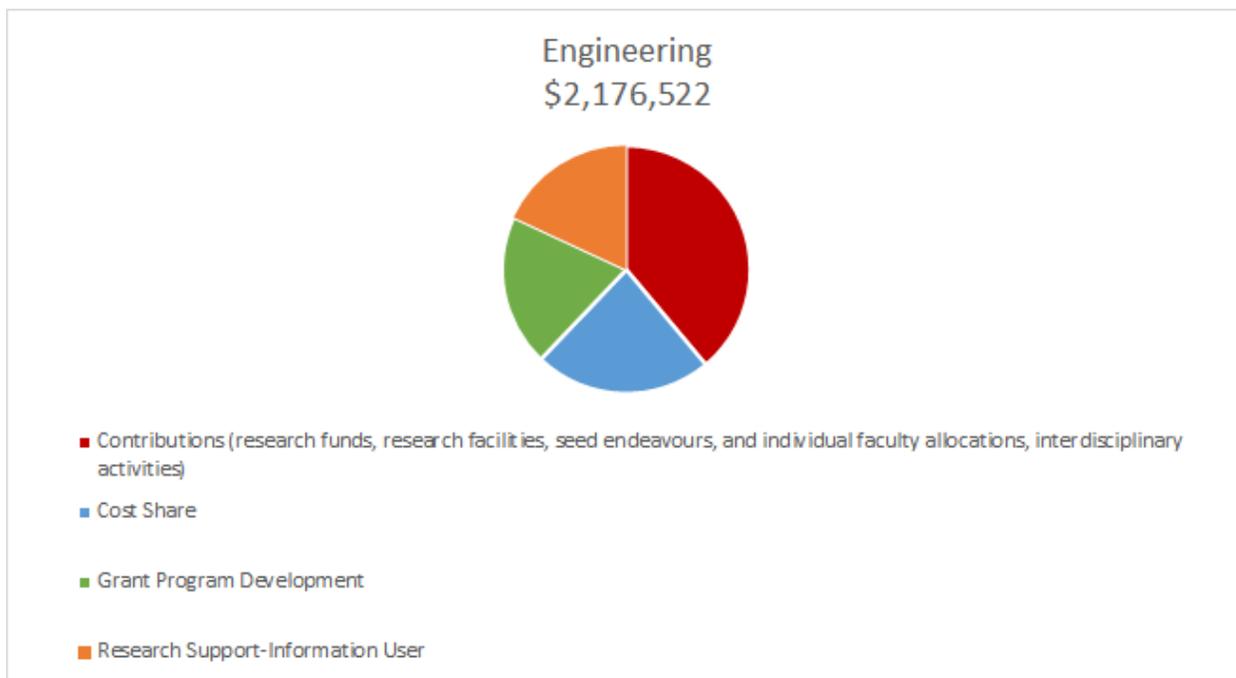
As noted in COR’s 2012-13 Annual Report, the distribution of the University Opportunity Fund (UOF) had not previously undergone Senate review and the rationale for the current 40/40/15/5 split has never been clearly articulated. In addition, the original UOF base budgets, set in 2009 without Senate consultation, have never been substantively examined or justified. Moreover, while COR’s use of opportunity funds regularly appears in the committee’s annual report (see below), summaries of how the central administration, Office of Research or the divisions utilize their allocations of UOF are not publicly available. Since support for faculty research is increasingly scarce, we should be confident that our campus is making optimal use of UOF. Also, since UOF, like other ICR revenues, come to campus as a result of the efforts of our most successful and productive research faculty, those who use these funds need to be publicly accountable to the faculty that generated them.

After consultation with COR in Spring 2013, EVC Alison Galloway, in a letter dated August 15, 2013, provided a detailed summary of allocations of research funding by the Office of Research for fiscal year 2012-13. In Fall 2013, COR requested detailed 5-year information on the use of UOF from the deans of the four academic divisions and the Baskin School of Engineering. COR received substantive and informative responses to our request from all of the deans (Table 1; Figure 2). However, the enormous disparity in the scale of UOF allocations to each division and non-standardized allocation and reporting practices make it extremely difficult to present a

simple, unified summary of divisional use of UOF. COR intends to work closely with the central administration, Office of Research (OR), the divisions and Baskin School of Engineering (BSOE) to develop a more standardized reporting system for UOF that can be made publicly available annually.

Figure 2: Use of UOF by Soc Sci, PB Sci and BSOE, cumulative 2008-2013





COR's review of the information provided by OR, the divisions and BSOE indicated that these recipients of UOF generally use these funds to positively enhance the research enterprise of the university. In a report to the Senate in May 2014, COR highlighted what we found to be some of the most successful and potentially impactful uses of UOF. However, we also raised questions about other uses. Our goal is to begin a campus-wide discussion focused toward developing a set of shared principles and practices. In general, COR favors uses of UOF that enhance the overall research environment and infrastructure of the university, that while based on competition and merit also provide equality of opportunity and equity of access, that most effectively leverage internal funds to successfully yield external resources, that support junior faculty early in their research careers, that provide short-term bridge and seed funding, and that support impactful research in areas, such as the Arts and Humanities, where external funding is traditionally scarce. Below we outline some issues that came up in our review of UOF that we think are worthy of further thought and discussion.

Centralized versus Distributed Allocation Practices:

In general, COR favors strategies for allocation of UOF that distribute funds directly to faculty researchers or to those administrative units with which faculty researchers interact most directly, such as departments and research centers and institutes. Given this principle, COR would like to highlight Physical & Biological Sciences' (PBSci) practice of returning 40% of its annual UOF allocation to departments based on the percentage of ICR generated. Several COR members also strongly support the development of divisional and campus-wide incentive programs that reward faculty who generate ICR. On the other hand, COR also appreciates that in units that receive substantially less UOF revenue these funds may be most effectively deployed to sustain more centralized research support activities, such as the multi-campus Institute for Humanities Research, in the case of the Humanities Division, or to fund a staff grant writer, in the case of the Arts Division.

Graduate Support:

Given the campus' current focus on graduate growth, use of UOF allocations to support GSR positions should be given high priority. COR notes in this regard the GSR Seed Grant Incentive Program in BSOE, funded by more than \$500,000 in carry-forward UOF allocations and augmented by additional funding from the Graduate Division. In addition to supporting twelve GSR positions, this program provides seed funding for faculty researchers, enhancing their ability to pursue external ICR generating grants.

Matching (Cost Sharing) and Discretionary Funds:

The Office of Research and most divisions reported using UOF as a source of matching (cost sharing) funds and for the discretionary support of unique research opportunities. While COR recognizes these uses as completely appropriate we are somewhat concerned about the lack of information on how these funds are distributed between the divisions and OR and a lack of clarity on procedures for requesting such funds.

Faculty Retention:

PB Sci reports using 12% of its most recent 5-year UOF allocation for faculty retention, while Soc Sci reports using 52% of its 2008-2013 UOF allocation for retention agreements (see Figure 2). While COR recognizes the importance of faculty retention and the positive impact that such retentions can have on maintaining the research profile of the university, we were somewhat surprised that such a large proportion of UOF revenues across these two divisions were going to support a relatively small number of individual faculty retention cases (6 in PB Sci and 6 in Soc Sci). Clearly some of this funding is being used to enhance the overall research environment and infrastructure of the university, to support graduate students, and to seed new and potentially productive research efforts. However, COR remains concerned that using UOF to support retentions dramatically decreases the amount of campus funding available to support a broader range of faculty research opportunities in more transparent, openly competitive, and equitable ways. COR appreciates the limited options available to deans in these situations but believes that this is an issue that requires more campus-wide discussion.

COR plans to continue consultations with the central administration, Office of Research, academic divisions and the Baskin School of Engineering to develop shared campus priorities for the use of UOF, to provide more informational material to faculty on how these funds are distributed and how to access them in support of their research, and on coordinating our funding efforts in ways that best leverage these limited, but extremely impactful campus resources. In addition, COR plans to follow up with consultations with EVC Allison Galloway about the central administration's use of UOF, the rationale for the current 40-40-15-5 allocation strategy, and the potential for this funding formula to be re-evaluated.

Composite Benefit Rates

After a lengthy review that spanned multiple academic years, the Office of the President and the system-wide Academic Council reached an agreement on May 8, 2014 with regard to the implementation of composite benefit rates (CBR) under UC Path. The agreement increases the number of rates for each campus, compared to earlier proposals, allowing for greater campus flexibility in accommodating the varying needs of different types of faculty researchers,

particularly in regards to how benefits are assessed to summer salary under UC Path. The latter was a point of considerable discussion and extended consultation between the Academic Council and OP. COR was deeply concerned about the potential negative impact on research budgets of earlier CPR proposals, which would have substantially increased the cost of benefits charged to external contracts and grants. COR consulted with Director of Costing and Data Management Troy Lawson in December 2013 about these issues and presented a report to the Senate at its Winter meeting in February 2014 outlining our specific concerns about the potential impact of CBR on research funding. The final CBR agreement substantively addressed most of these concerns. In particular, under this agreement separate benefit rates for faculty will be established for summer salary and 9-month salary. Both 9-month and summer salary benefit rates will include charges for payroll taxes and DCP, however UCRP and health benefits will only be charged to 9-month salary, as is current practice. In addition, these changes will not be made retroactively to on-going grants. The agreement also includes provisions for a study group to examine how UC charges benefit expenses against grants.

Changes in Office of Research and Consultations with Vice Chancellor Research

Following a failed external search in 2012-13, EVC Alison Galloway appointed Scott Brandt, professor of computer science and associate dean of research and graduate studies in the Baskin School of Engineering, as interim Vice Chancellor of Research, effective July 1, 2013. This appointment was made permanent in January 2014. In consultation with COR, VCR Brandt explained that EVC Galloway had charged him to encourage greater transparency in OR and to build a stronger relationship with the Senate and COR in particular. To this end, VCR Brandt met regularly with COR and candidly answered questions regarding operations within the Office of Research.

VCR Brandt reported to COR that OR has a budget of approximately \$400,000 a year to support campus research. VCR Brandt noted that the VCR's discretionary budget was reduced in the recent budget cuts to the point that it is too small to provide all the matching funds necessary to obtain many grants. He is asking the EVC for more funding so that his office has sufficient budget to cover these cost sharing obligations rather than having to request matching funds from her office on an ad hoc basis. VCR Brandt explained that one major problem with internal research funding is that it is broadly distributed through multiple funding streams (COR, OR, Divisions) and that few faculty know who and how to ask for support. COR and VCR Brandt agreed that there needs to be a more coordinated campus-wide effort to publicize the availability of internal research funding and how to request it.

COR would like to see greater transparency in how nominations for major grants are made, more input from COR in selection of proposals to go off campus and more timely notification to faculty of major grant deadlines. As with the FIGH initiative developed by CPB, COR believes that it is important to encourage faculty-initiated research collaborations from the bottom-up as a way to balance divisional and campus priorities.

The committee also discussed the VCR's frustration with OR's inability to collate and assess a wide variety of data that would be useful in evaluating the campus research enterprise and develop informed strategies for improving the campus research environment. VCR Brandt outlined his plans to implement a new database system for OR. COR supports the goals of this

initiative, however, the prospect of this process taking more than two years is worrisome as many short-term solutions should be available to gather necessary data to make the best strategic decisions. VCR Brandt also informed COR about some reorganization in the Office of Research, including consideration of adopting an enterprise system (CAYUS) used by many other UCs. This is a workflow system with more functionality than current systems in place in Office of Sponsored Projects (OSP) and OR and that can communicate more effectively other campus systems. The system would have a budget builder for principal investigators (PI) that allows modeling of different budgets and is meant to allow PIs to develop preliminary budgets that the OSP would only need to check. The new system will take about a year to put in place, and six months for faculty PIs to be fully trained in its use. The expectation is that some OSP staff effort that is currently used for this type of budget development can be directed toward other priorities such as industry relations and grant development. COR recommended that such a system should also have functionality to simplify post-award reporting.

VCR Brandt also reported to COR that he is creating capacity in his office for enhanced research development that would support such activities as developing boiler-plate descriptions of the campus and developing easily accessible summary data of the type that is required for a variety of major foundation awards and major grants, such as training grants. VCR Brandt also described the new Broader Impacts Office in OR, which assists researchers with the preparation of high quality broader impact statements for all federal agency grants.

University Affiliated Research Center (UARC)

About 160 UCSC employees work on and support NASA science projects through our University Affiliated Research Center (UARC) partnership with NASA Ames Laboratory. This 10-year, \$300 million contract was extended for one year in 2012-13. The campus is currently competing to continue this relationship through NASA Academic Mission Support (NAMS), a five-year, \$250 million contract that will potentially support more collaborative academic research and greater faculty and student engagement. As of October 1, 2013, OR began overseeing the University Affiliated Research Center (UARC). In March 2014, Quentin Williams, professor of Earth and Planetary Sciences, was appointed as associate Vice Chancellor for Research (VCR) with the primary responsibility for managing our academic relationship with NASA and overseeing the current re-bid process. In May, VCR Brandt reported to COR that the UARC contract continues to function as an extension until the current re-bid process, which is currently on hold, is completed.

Relationship between Graduate Growth and Research

COR views campus plans for doctoral graduate growth as closely tied to the research mission of the university since Ph.D. students often act as research assistants on faculty research projects and conduct original research for their dissertations. In November 2013, COR consulted jointly with Dean of Graduate Studies Tyrus Miller and VCR Scott Brandt regarding plans for graduate growth at UCSC. Dean Miller explained that 2012-13 was the first full year of implementing the graduate growth mandate that came with the Rebenching process. Without time for much preparation, UCSC spurred graduate growth using one-time funds and conversations with different departments about their capacity for growth. More one-time funds will be used to continue this growth, but a more sustainable model must be found. Dean Miller explained that the sustainable model he envisions is one in which research funds are leveraged for graduate

growth in the same way core funds currently are. Faculty must be encouraged to use more of their existing research funds to support graduate students. Currently, most granting agencies do not incentivize or put a premium on graduate support, emphasizing research output over training and thus making it appear to be more cost effective and efficient to hire post-docs rather than GSRs. High non-resident tuition rates also loom large on faculty minds when admitting out-of-state students and hiring GSRs. Faculty are more inclined to fund graduate students in their second and third years than in their first year. Many faculty with external funding will dedicate one quarter of graduate student researcher (GSR) support, which will cover a stipend and resident tuition. Very few of these awards will pay non-resident tuition. This situation means that core block allocations are being eaten up by non-resident tuition. Strategically delivering funds to departments could incentivize support for graduate students from research grants and take this burden off of block funding. Dean Miller detailed three ways that other UCs are currently incentivizing GSRs:

- UC San Diego uses a blended tuition rate, using a percentage of non-resident tuition and charging all grants the same rate. UCSC's Ocean Sciences department attempted implementing this model, but experienced some faculty opposition;
- UC Davis has a flat buy down on the tuition. At UCD this 25% buy down functions as a subsidy to grant-funded students. Dean Miller would want to see a higher percentage buy down for UCSC, if such a model were adopted on our campus¹;
- UC Berkeley offers outright non-resident tuition grants. UCSC currently offers approximately 21 fellowships across the divisions that buy out up to two years of non-resident tuition. Recently at Berkeley, it was announced that for every quarter that a faculty member supports a non-resident tuition student, campus will put up a matching fellowship quarter.

VCR Brandt argued that any strategy adopted at UCSC needs to incentivize the use of grant funds to bring in new students. Many departments depend almost entirely on block funding for the first two years, meaning that their growth depends entirely on their block money. A new model should encourage departments to seek more grants that would then leverage increased core funding. VCR Brandt explained that the current system of block funding is not sustainable given UCSC's growth goals. The composition of graduate support needs to change, as does the assumption of the weight of graduate study in the overall profile of the university. COR asked about support for training grants, which offer high levels of support for graduate students but require specific grant-writing skills and institutional support to be successful. VCR Brandt responded that he and Dean Miller have been discussing this problem and agree that the campus needs to pursue training grants with more central support. Resources and staff are needed to acquire these grants. Although the campus is not yet in a position to hire training-grant support, this is a goal of both VCR Brandt and Dean Miller.

After consultation, COR remains frustrated that a long-term, campus-wide plan for sustained graduate growth has yet to be articulated. We are sympathetic to the constraints under which Dean Miller has been operating and appreciate the modest success that he has achieved in

¹ Our consultation with Dean Miller took place before the 2013-2014 graduate recruitment cycle, during which the graduate division offered the following incentive: 75% of the NRT for any out of state student GSR from an external grant. This was confined to students entering in 2014-2015.

collaboration with specific departments. However, to date graduate growth initiatives appear to be small, incremental, and highly localized. We were encouraged that both VCR Brandt and Dean Miller expressed support for expanding campus resources for assisting faculty who want to pursue larger research and training grants.

II. COR Grant Programs

In 2013-14, 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 2013-14

| Budget Source | Amount |
|---|------------------|
| Opportunity Fund (UOF) – ICR from federally funded grants | \$311,061 |
| Education Fund (UOF) – ICR from privately funded grants | \$61,865 |
| ARRA Funds (UOF) – American Recovery and Reinvestment Act | \$12,278 |
| Earle C. Anthony Endowment | \$7,891 |
| TOTAL | \$393,095 |

| Expenditures | Amount |
|-------------------------------------|------------------|
| Faculty Research Grants (FRGs) | \$147,662 |
| Special Research Grants (SRGs) | \$155,457 |
| New Faculty Research Grants (NFRGs) | \$20,179 |
| Scholarly Meeting Travel (SMT) | \$133,400 |
| TOTAL | \$456,698 |

Faculty Research Grants (FRGs) and Special Research Grants (SRGs)

Each year, COR solicits applications for its three research programs: New Faculty Research Grants (NFRGs), 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 funded based on 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 dedicates much of its time in the fall quarter to updating the guidelines and application for the two research grant programs and reviewing applications for the NFRGs. Guidelines and fundable expenses were streamlined in order to make the application process as faculty-friendly as possible. In addition, with the considerable help of ITS, COR was able to develop and implement a new on-line application and adjudication system that made the entire grants process more straightforward and efficient from both the applicant and reviewer perspective.

After evaluating comments from many faculty and reviewing the results of the 2013-14 competitions, COR has decided to remove the ban on applying to both the FRG and the SRG program for the same project. COR agreed to return to the old rules, that faculty can apply for the same project for both the FRG and the SRG grants, but that they cannot receive funding for the same project from both programs. The larger of the two awards, usually a SRG, will be funded.

This year COR engaged in extensive discussions during the adjudication process about the appropriateness of COR funding for computers. Faculty report decreased support for computing equipment by federal funding agencies and due to budget cuts on campus faculty computers are no longer upgraded on a regular or consistent basis within divisions. Thus, COR gave careful consideration to requests for computing equipment and software in NRG and SRG proposal budgets. Only if a faculty researcher could make the case that the specific, specialized equipment or software necessary for the proposed project was beyond the scope of what should reasonably be provided by the divisions were these expenses considered allowable. COR needs to remain adamant about this position, since it is the administration’s responsibility to provide faculty with the computing equipment and software necessary to engage in basic teaching, research and service activities. Providing the resources and infrastructure necessary to meet the standard expectations of faculty duties should not be pushed onto project based research funding, since funding such basics will come at the expense of other aspects of the project and is generally considered by funding agencies as the responsibility of the institution. After all, these are just the sort of resources that are supposed to be covered by “overhead” and should be covered by the other “buckets” of ICR funding that are distributed across campus. COR agreed to track these basic equipment requests and demonstrate to the administration, if applicable, a fundamental shortfall in what is provided to faculty.

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

| | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 2012-13 | 2013-14 |
|-------------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| FRG | 146 | 128 | 127 | 84 | 112 | 125 |
| SRG | 53 | 45 | 45 | 24 | 47 | 42 |
| TOTAL Apps | 199 | 173 | 172 | 108 | 159 | 167 |
| FRG Funds Req. | \$252,036 | \$205,306 | \$253,479 | \$130,386 | \$181,244 | \$196,838 |
| SRG Funds Req. | \$687,456 | \$526,108 | \$423,438 | \$158,706 | \$324,362 | \$255,353 |
| TOTAL Funds Req. | \$939,492 | \$731,414 | \$676,917 | \$289,092 | \$505,606 | \$452,191 |

Figure 6. Summary Statistics on the 2014-15 FRG and SRG Awards (adjudicated in 2013-14)

| Division | SRG apps requested | SRG apps funded | SRG amount funded | FRG apps requested | FRG apps funded | FRG amount funded |
|--------------|--------------------|-----------------|-------------------|--------------------|-----------------|-------------------|
| Arts | 12 | 8 | \$42,709 | 27 | 19 | \$27,452 |
| Engineering | 1 | 1 | \$8,000 | 2 | 1 | \$1,500 |
| Humanities | 6 | 3 | \$15,800 | 33 | 26 | \$41,412 |
| PBSci | 7 | 6 | \$41,337 | 15 | 11 | \$17,170 |
| SocSci | 13 | 9 | \$47,611 | 48 | 38 | \$60,088 |
| Total | 39 | 27 | \$155,457 | 125 | 95 | \$147,622 |

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. Of the 13 NFRG requests, 10 were full-funded and one partially. Total funds disbursed increased from \$13,840 to \$20,179. (Figure 7).

Figure 7. Summary Statistics on the 2013-14 NFRG Awards

| Division | NFRG apps requested | NFRG apps funded | NFRG amount funded |
|--------------|---------------------|------------------|--------------------|
| Arts | 2 | 2 | \$3,805 |
| Engineering | 2 | 2 | \$4,000 |
| Humanities | 3 | 2 | \$3,950 |
| PBSci | 1 | 1 | \$2,000 |
| SocSci | 5 | 4 | \$6,424 |
| Total | 13 | 11 | \$20,179 |

Scholarly Meeting Travel (SMT)

The other grant program offered by COR supports faculty travel to scholarly meetings throughout the world (Figure 8). Senate faculty may apply for a \$700 award once per academic year, provided the travel meets eligibility guidelines.

Figure 8. Summary Statistics on the 2013-14 SMT Awards

| Division | SMT apps funded | SMT amount funded |
|--------------|-----------------|-------------------|
| Arts | 29 | \$20,300 |
| Engineering | 13 | \$9,100 |
| Humanities | 48 | \$33,600 |
| PBSci | 30 | \$21,100 |
| SocSci | 70 | \$49,300 |
| Total | 190 | \$133,400 |

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.

- 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 they return to campus.

III. Other COR Business

Outstanding Dissertation Award Proposal

During 2013-14, COR and Graduate Council, at the request of VCR Brandt and in consultation with the Dean of Graduate Studies, collaboratively developed a proposal to establish an annual awards program to recognize outstanding dissertation research and writing in each of UCSC’s four academic divisions and the school of engineering. These awards would come with substantial recognition on campus as well as financial compensation for the winner of a campus-wide competition among the divisional winners. The Graduate Division will administer the review of the divisional winners to select an overall campus awardee. Funding for the campus-wide award has already been secured through a gift from the Steck Family Foundation. These awards will provide a substantial “feather in the cap” to young academics searching for employment after completing their doctoral degree. Awards of this kind also serve to motivate students to conduct innovative graduate research. Winning dissertations will be publicly displayed on campus and dissertation summaries posted on appropriate university website(s).

The announcement of annual awards will serve to honor the achievement of the winners as well as to aid in recruitment of excellent future graduate students. COR expects these awards to be presented for the first time in 2014-15.

Silicon Valley Academic Plan

In November 2013, COR reviewed the Silicon Valley Academic Plan, an update of the version reviewed by the Senate in May 2012. The plan calls for UCSC faculty to be housed in Silicon Valley and COR questioned where these faculty would conduct their research. Faculty members potentially conducting research in a corporate laboratory or privately-held space could be a serious concern. Also, if the majority of the new programs will offer only masters degrees, COR wondered how ladder rank faculty will have access to Ph.D. students with whom they can conduct research. In addition, the proposal indicated that Ph.D. students will be conducting research in corporations, sometimes with the financial support of these corporations. COR raised many concerns with this model, especially pertaining to intellectual property rights. Also, the committee wondered if a student could, in the context of a private company, conduct research that is sufficiently innovative and original to merit a Ph.D. from UCSC.

Reports of the Portfolio Review Group

UC Committee on Research Policy (UCORP) requested that the divisional CORs review the two final reports produced by the systemwide Portfolio Research Group (PRG). The PRG was constituted by the Vice President of Research and Graduate Studies at UCOP to review the research portfolio of the systemwide Office of Research. PRG has made recommendations for multi-campus programs that should be cut, those that should continue to receive systemwide funding and those which should move to campus support. COR noted that it was difficult to assess the report because although the recommendations of the PRG seemed reasonable, we did not have access to the original data and reports on which these decisions were based and thus had no independent means of evaluating these recommendations.

Library Start-Up Funds

In April, COR reviewed the Library's proposal to alter the methodology for allocating library start-up funds for new faculty. The Library proposes to eliminate start-up funds for library collections from faculty packages by distributing half of the allocation as permanent funds to the library (for new FTE) and half as one-time funds (for successful recruitments on existing open provisions). Fundamentally, COR agrees with the proposal's primary principle, that the library should receive a basic augmentation every time new faculty is hired. However, COR notes that by disconnecting the funds from the hiring process, the current proposal effectively eliminates new faculty's control over purchase decisions. The result is an overall reduction in the amount of startup offered to prospective candidates. COR recognizes as sincere the proposal's assertion that the Library "will work with the faculty member to ensure his/her needs are met," but the fact is that the Library is no longer resourced to fully meet this need. Having a clear (and finite) amount listed in a startup package creates an explicit expectation about what the Library can provide for new faculty. While we understand the efficacy of not tracking specific purchases to specific startup accounts, we wonder if there is not some other way to lessen this accounting burden without eliminating faculty discretion over how those funds are spent. Overall, the proposal

needs more refinement and COR did not recommend its implementation.

Revisions to the Compendium

COR conducted a review of proposed revisions to the Compendium, a policy document that formalizes systemwide review processes to establish, transfer, consolidate, disestablish and discontinue academic programs, schools, colleges and research units. COR focused on the section about Multi-campus Research Units (MRUs). COR identified two issues with the revisions: 1) for MRUs there were concerns about the appointment process for MRU leadership; and 2) for MRPs the policy seems to be silent on the decision structure for determining funding and adjudication of MRPI proposals. While MRUs have always had a high level of engagement of the Senate and its committees in adjudicating proposals, COR noted a lack of faculty engagement process for vetting MRPs. In documenting the process for adjudicating the proposals, this revision to the Compendium should include a clearly articulated role for faculty in determining what proposals get funded. As it stands now, the Compendium only includes the Senate in developing what criteria are set forth in the call for proposals. This appears to be a diminution of faculty involvement compared to the MRU process, where the administration looks for Senate approval of proposals before funding them. The Compendium clearly articulates a process for vetting MRU proposals and should do so for MRP proposals as well. COR asserts the basic principle that faculty should be setting the research vision of the institution.

Respectfully submitted;
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