Council on Research and Instructional Resources  
Annual Report: 2017-2018

Council Charge

Per bylaw 65, the purpose of the Council on Research and Instructional Resources (CRIR) is to promote an optimal research and educational environment, to manage Senate resources and provide advice in a manner that fosters quality and diversity of research and instructional programs.

Council and Committee Meetings

CRIR consists of two standing committees: Committee on Research Policy and Procedure (CRPP) and Committee on Library, Information, and Instructional Resources (CLIIR). CRPP met thirteen times and CLIIR met eleven times during the 2017-18 academic year, and the Chairs communicated any issues of mutual concern as needed. The Committee on Faculty Grants (CFG) met independently of CRPP and CLIIR as the committee’s function is to review and make decisions on faculty research grant proposals. As a result, CFG met four times during the spring quarter; one meeting was for orientation and the other three meetings were for grant decision discussions.

System-Wide Issues and Reviews

All system-wide issues that CRIR responded to are listed below. Issues that CRIR reviewed but chose not to opine on are not included. Summaries are provided for issues that CRIR was especially concerned about or played a central role in shaping the Senate’s response.


- Proposed Presidential Policy on Open Access for Theses and Dissertations

CRPP was generally supportive of the goals of this policy and appreciated that the optional two-year embargo period would meet the needs of students in the sciences and engineering. However, the committee observed that the policy as written could potentially cause harm to the careers of Ph.D. students in the humanities.

For faculty in the humanities, the Ph.D. thesis often serves as a first draft for a larger body of work which the faculty member will produce early in their career. Portions of the thesis will be polished and subsequently published as journal articles, and the thesis itself may well become the core of the first book which the faculty member writes. A successful academic career depends not only on writing that book but on getting it published, and completely open online access of the first draft is likely to make it very difficult to obtain a book contract.

CRPP made several suggestions for adjusting the proposed policy. First, students should be given the option of either a two-year embargo or a five-year embargo, with the provision that the embargo period could be renewed once upon request. Any renewals beyond the first would require “compelling circumstances.” A five-year once-renewable embargo should meet the
needs of future academics in the humanities. Second, CRPP recommended that graduate students should be required to indicate whether they wish no embargo, a two-year embargo, or a five-year embargo at the moment they are submitting the dissertation. Third, CRPP anticipated that the California Digital Library (CDL) would maintain a database of thesis titles and abstracts online even for those theses that are embargoed. The committee suggested that for embargoed theses, members of the public could request access through CDL, and that those access requests would be forwarded to the thesis authors for action.

CLIIR also reviewed the policy and noted that the proposed policy would benefit UCSB graduates who often choose to publish their theses and/or dissertation in an open access format during the filing process. Currently graduates must pay a fee to do so, and this would take that burden off of graduates. There was some concern that this policy could make it difficult for recent graduates to publish their dissertation as a book, but most CLIIR members agreed that it is extremely unlikely that a publisher would want to publish an unrevised dissertation. Overall, CLIIR endorsed the Proposed Presidential Policy on Open Access for Theses and Dissertations.

- **Systemwide Review of Taskforce Report on the Negotiated Salary Trial Program**

CRPP members had a wide range of opinions on the Taskforce Report on the Negotiated Salary Trial Program and the committee was unable to reach consensus on the program. Many committee members felt that the program was a very bad idea that would tend to increase the inequities already present in faculty salaries. There was also a concern that there might be encroachments on academic freedom by having portions of a faculty member’s salary derived from outside entities (who might wish the faculty member to adopt their own agendas). On the other hand, many committee members (particularly in the sciences and engineering) saw this as a potentially useful tool for attracting and retaining faculty.


In reviewing the proposed revisions CRPP returned to the two central concerns they discussed during the first systemwide review held in spring 2017. First, what problem is this new title system and related APM changes attempting to fix? Second, what does this change do to the research mission of the university? During this second systemwide review, the committee discussed whether the updated version addressed those concerns and agreed that although there were superficial changes, the underlying problems were not fixed. It was still unclear what exactly the revised policy was attempting to fix. In the committee’s view, no existing problems were solved by the revised proposal and new problems were created.

The committee was concerned about the proposal to put the two categories of faculty on a common salary scale. It was pointed out that inequities could quickly develop. For example, in the “book disciplines” in the humanities, a faculty member could remain at one of the barrier steps for a long period of time until the next book is written and published. By contrast, their LSOE colleagues in the same department could sail past the barrier step since there is no comparable “barrier” in the evaluation of a teaching-only professor. In order to avoid this problem, clear metrics for determining eligibility for the next step or rank would need to be supplied for the LSOE series, but they were not supplied in the proposal.
Another serious issue was the suggested change of the official title of our current Senior Lecturers to “Lecturer,” which sounded like a demotion (and will so appear to those on the outside reviewing the CV of such a person). Finally, the revised policy continued to use the phrase “Teaching Professor” (although not as the official title) and still included the requirement that LSOEs conduct research, though the requirement was broadened. Some committee members felt that institutionalizing a “Teaching Professor” series would endanger the research mission of the University by making it easier to increase the number of teaching-only faculty at the expense of research faculty. CRPP did not support the proposed revisions.

Local Business

- **Proposal to Establish a Master of Environmental Data Science**

CRPP found several positive aspects of the Proposal to Establish a Master of Environmental Data Science including the opportunity for UCSB to be the first to offer this type of program and the opportunity to increase the graduate student population on campus. The committee also had a number of concerns about the proposal. The main concern was what this program would do for the research mission of the university. While the proposal included some faculty hires, the program would rely much more heavily on hiring lecturers to teach the required courses. There was also concern that the proposal lacked support letters from the Statistics and Applied Probability Department and from the Computer Science Department. It was also noted that there was not an attempt to reach out to faculty across campus to see if they were interested in the program or would have something to offer it, especially faculty in the humanities and arts. Some committee members were uncomfortable with the short time-frame of the program and thought it seemed more like a credentialing program than a graduate program. However, other members noted that this is typical of professional degree programs of this type and were not uncomfortable with having this degree program on campus.

- **Proposal to Establish an International Center for the Humanities and Social Change**

CRPP discussed the Proposal to Establish an International Center for the Humanities and Social Change at its December 1st meeting. The committee identified a number of serious issues during its discussion of the proposal. After consultation with Divisional Chair Bohn, the committee invited Professor Tom Carlson (Religious Studies) to its meeting on January 19th in order to clarify some aspects of the proposal. The Chair of CRPP was able to review reports from other Senate committees about this proposal prior to the January meeting, and these provided additional input to the discussion with Professor Carlson.

During the meeting with Professor Carlson he was asked to address six main areas of concern: (1) to provide more information on the International Foundation for the Humanities and Social Change; (2) to confirm whether there would be a formal Memoranda of Understanding or Collaboration Agreements between the Foundation, the Foundation network centers, and UCSB; (3) to distinguish the role this Center would play from other existing Centers in the humanities on campus; (4) to provide clarifying information on the Center’s budget and the duration of the Foundation’s financial commitment to UCSB; (5) to confirm whether the Center is already operational, and if so, when its activities began; and (6) to clarify whether the Center would follow the normal five-year review cycle for Centers.
After discussing the central issues with Prof. Carlson, CRPP requested that he submit a revised proposal. The committee felt that the original proposal itself had a number of defects and that Professor Carlson should be required to submit a revised proposal prior to formal approval. CRPP expected the revisions to include a more detailed and realistic budget that states true costs and clarifies the nature of the UCSB financial commitment to this Center. The five-year commitment from the Foundation should also be described. While the committee was very concerned that the Center was operational prior to receiving approval, CRPP was willing to move forward with the approval process pending the submission of a satisfactory revised proposal.

CRPP received the Revised Proposal to Establish an International Center for the Humanities and Social Change, and discussed it during its June 1st meeting. The committee agreed that many of the concerns raised by the Senate during its review of the original proposal in January 2018 were addressed. The revised budget was an improvement over the original budget though there were still areas that lacked clarity. Specifically, the committee was unclear who would provide stipends for UCSB dissertation fellowships (the proposal indicates in-state tuition and fees would be paid by Graduate Division). In addition, the revised proposal states that 1 – 3 of the dissertation fellowships would go to a UCSB graduate student each year. The committee agreed that it is important for the Center to fulfill this commitment to UCSB graduate students and ensure that at least one fellowship is allocated to a UCSB graduate student each year and that they are paid a salary/stipend equal to non-UCSB fellowship recipients. Finally, the original proposal indicated a start date of July 1, 2017, but the revised proposal lists July 1, 2018 as a start date. Both proposals indicate an initial four year review followed by a regular five-year review cycle. CRPP would support either the 2017 or 2018 as the start date, and the committee acknowledged that as a non-ORU center, the review cycle will be determined by the Dean. While CRPP still found areas that needed clarification in the revised proposal, overall the committee supported the proposal and the establishment of an International Center for the Humanities and Social Change.

- **Proposal for the Establishment of a Non-ORU Climate Hazards Center**

CRPP discussed the proposal and the committee was supportive of the center overall, but would like to know the standing of Dr. Chris Funk who was identified as the inaugural director. The proposal indicated that Dr. Funk would be ineligible to receive a stipend because he is a federal employee with US Geological Survey. It was unclear to the committee whether Dr. Funk is employed in any way by UCSB and whether he would be allowed to serve as Director if he is not connected to UCSB. The committee also suggested that the center be reviewed again in three years if a new director is hired using UCSB funds. CLIIR also discussed the proposal, and the committee agreed with and endorsed CRPP’s response. Overall, CRIR was supportive of the establishment of the Climate Hazards Center, but would like clarification on Dr. Chris Funk’s standing.

- **Data Curation and Data Storage**

During spring 2017 CLIIR looked into the challenges of research data storage and curation, which is an ongoing problem for faculty on campus. The issues are further complicated because storage and curation must be managed in tandem. While there are multiple options for storage (e.g., cloud-based storage of various types), these options prove to be inadequate because the
data must also be retrievable in the future. The rapidly changing formats for data storage and systems creates a serious challenge for retrieval and archiving of data.

To learn more about plans for data storage and curation at UCSB, CRIR invited Matt Hall (Associate Vice Chancellor for Information Technology and Chief Information Officer) and Joseph Incandela (Vice Chancellor for Research) to attend a meeting and discuss the issue. The discussion was guided by five central questions: (1) how do plans for data management fit in with the growing requirements on the part of federal agencies to make federally-funded research data available, and how will the campus research community be informed about this?; (2) what are current plans for making campus research data available?; (3) how do UCSB’s efforts relate to contexts such as eScholarship, CDL, ADRL; (4) what options are being considered for data curation and metadata generation?; (5) are there plans to increase access for other research objects besides text data, such as images, maps, audio, and specimens?

VC Incandela and AVC Hall noted that the campus and Office of Research recognize that the increasing data requirements for federally-funded research grants, such as NSF grants, is one of the primary issues that needs to be addressed. Additional needs include the ability to create large data sets with shared-editing capabilities as well as the need to ensure protection of sensitive and critical business data. Data storage needs and capabilities vary a great deal by discipline. As of fall 2018, there were five petabytes of storage at UCSB. All of it was in use, so capacity is extremely limited.

When it comes to data management, various research centers on campus handle their data needs in different ways. Increasingly, NSF and other funding agencies are moving toward requiring the use of data repositories. An example of one is NCEAS, which maintains a repository where working groups from across the country can share data sets. The repository makes it possible to collate extensive amounts of data, archive research projects, and make the data public in national project archives. However, there is an ongoing question of how much and what type of data must or should be made publically available and preserved.

The question of discoverability was also addressed. Alan Grosenheider (Associate University Librarian) noted that two years ago the Library did a pilot project on data curation. The Library now has several data curators who are available to assist faculty on data storage, though the Library’s main focus is on the curation aspect of the data management issue. There is also a pilot project with the Earth Research Institute (ERI).

VC Incandela and AVC Hall also discussed the challenges of long-term archiving. One of the main problems is how to store data in a way that will be retrievable despite rapidly changing technology. One option that Stanford University, and others, are looking into is “containers” that store data sets and all computational aspects, which would allow data to be taken forward despite changes in operating systems and technology (to a point). At UCSB, the College of Engineering and the College of Letters and Science have been looking into “Open Stack Containers” for use at UCSB. Another related issue is how to protect long-term storage from corruption. Typically at least three copies of equal quality would be needed, which creates even greater demands for storage.

Finally, CRIR members inquired about how the campus community would be informed about changing data management and storage needs and availability. It was noted that the Library’s
website has a great deal of information, and that faculty should be working with the Office of Research when writing grant applications, especially when there are data requirement tied to the grants. Some council members felt that there need to be better guidelines available to faculty and better training of departmental staff on these issues. Finally, the Library offers data management workshops on behalf of the Office of Research.

Library Updates

- **Meeting with Candidates for University Librarian**

  During December 2017 CLIIR had the opportunity to meet with all the final candidates for University Librarian during their campus visits. Kristin Antelman accepted the position and joined UCSB as the University Librarian in spring 2018.

- **Library Space Initiatives and UCSB Library Annex 1**

  Upcoming space initiatives for the Library include significant reductions in the Current Serials Area and relocation of reference books to open up the Reference Library space. Reductions will likely occur through eliminating duplicate materials, utilizing online serials resources, and relocating reference books to the stacks. These reductions will make available significant areas of space, which could be used for student study space. Additional changes for the main library include keeping the entire library open until 2:00 am and increasing the 24-hour footprint to include the first two floors of both wings of the library.

  During 2017-18 the Library began the process to close library annex 1, which involves moving all relevant materials to the shared UC Southern Regional Library Facility in Los Angeles (SRLF). Annex 1 is a local storage facility with no climate control that houses mainly back-runs of journals that are available upon request in pdf from RLF. Overall, there would not no loss of materials or money, as UCSB is already paying into the shared facility and there would be no additional charge for moving the materials there. There would be a cost-savings by closing annex 1 because UCSB currently pays to rent the space. The process was expected to take two-three years, but due to the high-cost of rent, the timeline was accelerated. The Library now expects to have the process finished by July 31, 2019, which is the earliest date the Library can end their lease.

- **Open Access/Journal Offsetting Agreements**

  During 2017-18 there has been a UC-wide push toward shifting journal publication and subscription models toward an open access model. One way the issue has come forward is in the current UC negotiations for renewals of several journal subscription packages that are set to expire in 2019. Almost all journal subscriptions in UCSB’s library are available across UC campuses via California Digital Library (CDL). Via CDL, the plan is to negotiate for a proposed new model for UC journal authors that would require journals to make all UC authored articles open access. There are three main goals in this proposed off-setting model: make UC-authored articles open access, contain the rapidly rising costs of UC Systemwide journal packages, and, in the long-term, transition subscription journals from major commercial publishers to full and sustainable open access. As part of this model, all articles published by UC authors would be made publicly available, and any article processing charges (APC) would be paid either by the
author (via the faculty’s research grants) or by a central open-access fund (for faculty who do not have grant money to pay APCs). This new model has been approved and endorsed by the University Committee on Library and Scholarly Communication (UCOLASC).

In May 2018 University Librarian Antelman brought to CLIIR’s attention the Library’s interest in having UCSB join Open Access 2020 (OA2020). OA2020 is an international initiative coordinated by the Max Planck Digital Library to expand open access and convert scholarly journals from subscription-based models to open-access models. Each UC campus has been asked to sign the OA2020 Expression of Interest, and the UC has created a “pathways” plan for all UC libraries. If UCSB signs the OA2020 Expression of Interest, it would use the “pathways” document to develop its own roadmap toward achieving open access. So far six UC campuses have signed on, and this initiative directly relates to the CDL’s off-setting agreements that are central to their current journal subscription negotiations. All UC campuses are expected to eventually sign the Expression of Interest. Discussions regarding UCSB’s commitment to OA2020 will continue in fall 2018 when relevant Senate councils and committees will review the issue.

• Music Library

Plans for relocating the Music Library to the main library continued this year. Once the move is complete, the music collection will be located in the area formerly occupied by Special Collections. The music collection initiative is dependent on raising $5 million, all of which has to be done via fundraising. One million has already been raised, and once the half-way mark is reached the library will hire an architect to draft plans. As the plans stand now, the new music collection would be a significant increase in space for the music collection. Closed stacks housing music materials and the map collection would also occupy that space. In addition to additional seating and a seminar room, the music collection would also have a minimum of two listening rooms, but ideally more than two. These listening rooms would be multi-purpose with high-tech production capabilities for music, video, editing, etc. Since these would be used by people for reasons other than music, several rooms would be needed.

Instructional Development Updates

• Classroom Design Standards

Instructional Development has created a set of classroom design standards for general assignment classrooms. The standards would be used by architects and contractors when building any new general assignment classrooms on campus. CLIIR reviewed and endorsed the set of classroom design standards.

• ESCIs, Classrooms, and Facilities

The ESCI online pilot has expanded to new departments this year, and there are now 17 departments participating. A survey of students regarding online ESCIs showed that students overwhelmingly want to move to the online format. There are several updates regarding classrooms and facilities. A survey of faculty showed that there is a lot of interest among faculty in transforming existing classrooms into flexible classrooms, and much of this could be done simply by replacing the furniture that is currently in those rooms. Additional classroom updates include the status of Campbell Hall and other lecture halls on campus. There is no replacement
equivalent for Campbell Hall, but a new engineering building (Henley Hall) is planned, and it would go in the area where the mobile structures (ROTC, Arts and Lectures) are located near Campbell Hall, between the Chemistry Building and Ocean Road. Originally, a lecture hall with at least a 100 student capacity was planned to be included in the building, but it is unclear if the classroom will still be included. Finally, the 10 largest lecture halls on campus are slated to be upgraded to Gen 5 lecterns. Updates should occur during summer 2018.

Faculty Grants Committee

- Faculty Research Grants Policy and Procedures Updates

CRPP reviewed the current Faculty Research Grant application and decided to change some of the wording in the application. Included in the changes was adding a request for start-up funds information. The committee also removed the request for a minimum viable amount of grant funding due to concern that the review committee will often use it as a default funding amount when applicants supply the information.

CRPP also made updates to the research grants policy. Given the rapidly changing landscape of academic publishing, and the elimination of the library’s Open Access Fund (the only other campus resource for assistance with open access fees), the committee decided to change the policy criteria for publication subventions. The policy was updated to allow subvention funds to be used to pay for open access fees for monographs.

The committee also updated the grant policy to allow use of funds to pay for digitization of archival documents, in lieu of the researcher traveling to an archive to obtain the same documents. These types of digitized copies are typically restricted to individual use, so the faculty member would not be required to give them to the Library when they are no longer needed. While most faculty will still prefer to travel to archives, this change allows more flexibility and potential cost savings for those whose research needs would be met by ordering digitized archival documents.

- Summary of Grant Applications and Awards

Faculty Research Grant (FRG) maximum funding limit was set at $20,000, and Pearl Chase Research Grant (PCRG) maximum funding limit was set at $10,000, which maintains the same limit used during previous grant cycles. The Senate FRG budget allocation for the 2017-2018 cycle was $920,000 and the PCRG budget allocation was $70,000. During this cycle 125 completed applications were submitted and reviewed for the Faculty Research Grants. 113 of the proposals were fully or partially funded. Additional details on the funding amounts and rates are available in the table below.

Three applications were submitted and reviewed for PCRG during the 2017-2018 review cycle. Two of the proposals were funded, one partially funded and one fully funded. The total amount of PCRG funds awarded was $17,000.
Faculty Research Grants Funding Amounts and Rates by Division

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<th>Amount Requested</th>
<th>Amount Awarded</th>
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Carry-Over Issues

- **Open Access 2020 (OA2020)**

  Discussions regarding whether UCSB will join OA2020 will continue in 2018-19. Relevant Senate councils and committees will be asked to review the issue in fall 2018.

- **Faculty Research Grant Policy**

  There is a strong desire to continue to clarify and update the existing grant policy. A few of the policy areas that will be reviewed include requests for faculty summer salaries, subvention criteria and open access fees, and the need to clarify the policy to limit faculty to only one proposal per year to prevent dual proposals (one to FRG and one to PCRG per grant cycle).

- **Faculty Grant Review Criteria**

  Best practices in reviewing Faculty Research Grants and Pearl Chase Research Grants is an ongoing discussion that will continue during the 2018-2019 academic year.

**Membership**

**Council on Research and Instructional Resources (CRIR): Membership Organized by Committee**

- **Committee on Research Policy and Procedures (CRPP)**

  David R. Morrison (Chair of CRIR and CRPP)
  Hilary J. Bernstein
  Lisa Jevbratt
  Arturo A. Keller
  Shelly J. Lundberg
  Wendy Meiring
  Yasamin C. Mostofi
  Harry N. Nelson, UCORP Representative
  Jianwen Su, UCACC Representative
  Joseph R. Incandela, Ex Officio
Mary A. Raven, Professional Researcher

- **Committee on Library, Information and Instructional Resources (CLIIR)**
  
  Werner Kuhn (Vice Chair of CRIR and Chair of CLIIR)
  Paul M. Berkowitz
  Wolf D. Kittler
  Peter C. Sturman
  Rene Weber
  Liming Zhang
  Miriam Wattles
  John W. Du Bois, UCOLASC Representative
  Sherri L. Barnes, Non-Senate Academic Representative
  Magda Campo, Non-Senate Academic Representative
  Kristin A. Antelman, Ex Officio
  Alan A. Groshenheider, Ex Officio
  George Michaels, Consultant

- **Committee on Faculty Grants (CFG)**
  
  David Morrison, Co-Chair
  Werner Kuhn, Co-Chair
  Mahdi Abu-Omar
  Lalaie Ameeriar
  Omer M. Blaes
  Forrest Brewer
  Julie A. Carlson
  Gary B. Charness
  Moses Chikowero
  Ruth Finkelstein
  Kip Fulbeck
  Michael J. Furlong
  Barbara H. Harthorn
  Lisa Jevbratt
  Robert J. Koenig
  David A. Low
  Sumita Pennathur
  Matthew Potoski
  Laura F. Romo
  Karen K. Szumlinski
  William B. Warner
  Volker M. Welter
  Liming Zhang

  Emily Linthicum, Advisor