Executive Summary

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.

Highlights:

- Bylaw 65 has been amended to reflect the creation of the Committee on Information Technology, a third standing committee under CRIR, beginning in Fall 2019.
- The UC has discontinued its relationship with Elsevier publishing after an unsuccessful contract renewal process. The library is working on mitigation strategies to avoid disruptions to research.
- The Committee on Faculty Grants awarded $938,800 to 82 proposals out of 92 submitted for the Faculty Research Grant and $69,673 to seven proposals for the Pearl Chase Research Grant.

Council and Committee Meetings

Committee on Research Policy and Procedures (CRPP) and Committee on Library, Information, and Instructional Resources (CLIIR) met eight and six times, respectively, during the 2018-19 academic year, and CRIR met once as a full council once in Winter 2019.

The Committee on Faculty Grants (FG) met three times during Spring 2019; all CRIR members were obliged to participate as part of their CRIR service, with some additional members added by Committee on Committees to balance divisional representation.

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.

Research Grants Program Office – Current State Assessment Report
CRPP reviewed the RGPO Current State Assessment Report and made recommendations including increased Senate oversight of the office; improved clarity in MRU oversight; prioritization of the MRPI program for funding; and additional involvement of faculty in RGPO leadership.

Current State Assessment Report for Systemwide Mexico Entities
CRPP recommended expanded faculty consultation on the proposal to merge UC’s three Mexico entities into one. Members felt they did not receive adequate time for review and therefore could not endorse the proposal.

Composite Benefit Rates (CBR) for Postdocs
CRPP consulted with Assistant Chancellor (AC) Haines regarding a recent change in the use of composite benefit rates for postdocs. Benefits were previously calculated on an actual cost basis, which better allowed for individual variances. AC Haines worked closely with the Office of Research to get the new rates as close to actual as possible, which has resulted in a set of 10 rates, 2 of which are campus specific. Some employees are disadvantaged by the new method, while others
receive slight advantages. Although there will be a long-term advantage for the campus, it is anticipated that we have at least five years of mitigation issues to address. A campus workgroup, including 3 CRPP representatives, is now studying the issue and will continue to do so in the following year. This was subsequently taken up by UCORP as a system-wide issue with the following suggestions for mitigation:

1. Any composite benefit rate charge to existing research grants should not decrease direct funding for research;

2. Create a method to reach investigators unknowingly affected by CBR implementation.

Revision of BFP-RMP-7 - Protection of Administrative Records Containing Personally Identifiable Information
CRPP reviewed BFP-RMP-7 on behalf of the Santa Barbara Division. The committee supported a policy for protecting personally identifiable information (PII). Members made suggestions for several clarifications pertaining to how PII is defined, as well as the Rules of Conduct and the responsibilities of employees.

Concerns Regarding the Use of Research Information Management Systems
CLIIR members reviewed the RIMS documents and affirmed the efforts of the Academic Council to gather data and understand the landscape of RIMS use within the UC quickly. Members discussed the potential impact on the merit process and the potential for different needs/uses of these systems by program. Members shared concern that campuses weren’t more forthcoming about their utilization of these systems. Additionally, there were concerns about whether these systems are too quantitative in focus, as well as the risks of third party vendors controlling personnel data.

Local Business

Draft Campus Sustainability Plan
CRPP was overall supportive of the draft campus sustainability plan. Members felt the initial plan lacked a clear definition of its scope, but they were satisfied with the revised plan.

Proposal to Establish Master of Environmental Data Science (MEDS)
CRPP members reviewed a revised proposal for the MEDS degree program in Fall 2018. They expressed concerns about the proposed plan to have students attend classes both on campus and at the NCEAS facility in downtown Santa Barbara, but ultimately were supportive of the proposed degree program. CLIIR’s primary concerns about the proposal focused on impacts to the library, including needs for data curation, staff, teaching, collaborating, and consulting on projects; however, CLIIR was assured by UCSB Librarian Antelman that these resources are already being planned for by the library. The proposal was approved by the Faculty Legislature on April 18, 2019.

Proposal to Establish Senate Committee dedicated to IT Governance – Revision to Bylaw 65
Chair Su proposed the establishment of a Senate Committee, Committee on Information Technology (CIT), as a new standing committee of CRIR. This committee would be comprised of a Chair and 5 faculty members, 2 of whom would serve on the IT council, one as the systemwide UCACC representative, and the campus CIO would serve as ex-officio. This committee’s charge would be to deal with IT issues related to faculty and current campus infrastructure. There has been a Cyber Security Work Group run under the Council for Faculty Welfare, Academic Freedom, and Awards, but that group’s operations concluded in 2019 with the rollout of the implementation of the revised Electronic Communications Policy. This change was approved by CRIR members at the Council meeting on February 8, 2019. The proposal was approved by the Faculty Legislature at the March 21, 2019 meeting.

Neuroscience Research Institute (NRI) ORU Review
CRPP reviewed materials from the Office of Research (OR) on its review of NRI including: the NRI self-assessment, external review committee (ERC) report, (co)-directors’ response, as well as steering committee chair’s response to the ERC report. CRPP’s review found the NRI to be a well-organized, functional research organization.
Green Labs Action Plan v6
CLIIR members reviewed the Green Labs Action Plan. They raised questions as to whether aspects of the plan were still in need of funding and how the plan would progress if some aspects were not funded, as well as the impacts to overhead for research grants. They recommended the creation of "best practices" for implementation for individual labs.

Library Updates

OA2020
CRPP joined CLIIR (and eight other senate councils/committees) in support of UCSB's signing of the OA2020 Expression of Interest, the international initiative to accelerate the transition of traditional subscription publications to open access.

Elsevier Publishing Contract
The University's contract with Elsevier publishing expired on December 31, 2018. The understanding was that all Elsevier content available prior to the contract termination would remain accessible, and the UC librarians undertook plans to mitigate issues related to the loss of access to new Elsevier content. UC ended the negotiation without a contract on February 28, 2019 and direct access to 2019 Elsevier articles (and some older journal articles) is now being discontinued by Elsevier; this is a complex process that is ongoing.

Open Access/Journal Offsetting Agreements
UCSB Librarian Antelman presented CLIIR with an Open Access Fund proposal. The OA Fund is supported and administered by the UCSB Library to cover the cost of article publishing charges in open access journals so that no UCSB author is disadvantaged by the lack of funds to help cover relevant publication fees. The Fund will be assessed annually for effectiveness, fairness, and sustainability. CLIIR members offered suggested revisions to the initial plan including: making the funds accessible to students; adding conference papers for consideration; reimbursing the full publishing fee (the average is $1600). Funds will only be available to fully open access and the FAQ section of the application will be expanded to explain limitations on hybrid models. Funds will be set aside from the acquisitions budget.

Library Reorganization
Librarian Antelman presented CLIIR with a revised organizational chart for the library in Winter 2019. Two new units, Outreach & Engagement and Teaching & Learning, will be established under the Division of Learning & Engagement. Additionally, a Division of Digital Library & Information Technology will oversee IT & Library Systems, Digital Library, Data Curation, and Interdisciplinary Research Collaboratory units. She dispelled rumors that any Subject Librarians were losing their position.

However, the planned reorganization of the Subject Librarian staff and elimination of the Reference desk proved controversial across campus in Spring 2019. CLIIR members were divided on endorsing a letter which proposed a one-year moratorium on the reorganization. Librarian Antelman subsequently undertook to begin a series of consultative meetings with various departments and councils in order to understand and respond to perceived impacts of the reorganization across campus.

Faculty Grants

Policy and Procedures Updates
CRPP discussed whether the grants policy should be revised to allow funds to be used for faculty summer salaries. It was agreed that it would not be a good idea to fund summer salary, but that the language regarding computers should be modified to convey that consideration will be given to well-reasoned requests for computing facilities that are explicitly needed to conduct research on the
CRPP discussed whether faculty should be allowed to submit two independent proposals during the same grant cycle, one for the Faculty Research Grant (FRG) and one to the Pearl Chase Research Grant (PCRG). It was agreed that faculty could submit proposals to both grants within a single cycle, but that only one proposal would be accepted per faculty member.

**Summary of Grant Applications and Awards**

The Senate FRG budget allocation for the 2018-2019 cycle was $960,000 and the PCRG budget allocation was $84,000. During this cycle, 92 completed applications were submitted and reviewed for the Faculty Research Grants; 82 of the proposals were fully or partially funded.

Although only two proposals were initially submitted for the PCRG, the review committee identified five additional proposals that had been submitted to the FRG pool but met the eligibility criteria for the PCRG. Therefore, a total of seven proposals were funded through the PCRG during the 2018-2019 review cycle. Six of seven proposals were fully funded, one partially funded. The total amount of PCRG funds awarded was $69,673.

<table>
<thead>
<tr>
<th>Division</th>
<th>Amount Requested</th>
<th>Amount Awarded</th>
<th>Funding Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>ENGR</td>
<td>$81,707</td>
<td>$50,917.00</td>
<td>62.32%</td>
</tr>
<tr>
<td>GGSE</td>
<td>$145,597.65</td>
<td>$100,426</td>
<td>68.98%</td>
</tr>
<tr>
<td>HUFA</td>
<td>$311,312.77</td>
<td>$216,457</td>
<td>69.53%</td>
</tr>
<tr>
<td>MLPS</td>
<td>$467,529.89</td>
<td>$396,646</td>
<td>84.84%</td>
</tr>
<tr>
<td>SOSC</td>
<td>$192,098.78</td>
<td>$174,354</td>
<td>90.76%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$1,198,246.09</strong></td>
<td><strong>$938,800</strong></td>
<td><strong>78.35%</strong></td>
</tr>
</tbody>
</table>
Membership (Organized by Committee)

Committee on Research Policy and Procedures (CRPP)

Bridget L. Coggins
Lisa Jevbratt
Arturo A. Keller
Heejung Kim
Wendy Meiring
Harry N. Nelson, UCORP Representative
Wim van Dam
Joseph R. Incandela, Ex Officio
Jennifer A. Smith, Non-Senate Academic Rep
Jianwen Su, Chair of CRIR and CRPP, UCACC Rep

Committee on Library, Information and Instructional Resources (CLIIR)

Paul M. Berkowitz
Forrest Brewer
Wolf D. Kittler
Miriam Wattles
René Weber, UCOLASC Rep
Liming Zhang
Kristin A. Antelman, Ex Officio
George Michaels, Consultant
Rebecca R. Greer, Non-Senate Academic Rep
Magda Campo, Non-Senate Academic Rep
Werner Kuhn, Vice Chair of CRIR, Chair of CLIIR

Committee on Faculty Grants (FG)

Isabel Bayrakdarian
Paul M. Berkowitz
Forrest Brewer
Bridget L. Coggins
Erik Eyster
Lisa Jevbratt
Arturo A. Keller
Heejung Kim
Rachael S. King
Wolf D. Kittler
Xiaorong Li
Wendy Meiring
Greg Siegel
Miriam Wattles
Hannah L. Wohl
Liming Zhang
Werner Kuhn, Co-Chair
Jianwen Su, Co-Chair

Raphael Chinchilla, GSA Rep

Casey Hankey, Advisor