To the Faculty Legislature, Santa Barbara Division:

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:

- UC resumed negotiations with Elsevier publishing in July 2020 after an encouraging approach from the publisher. An Open Access agreement with Cambridge University Press began in September 2019, and another with Springer Nature was announced in July 2020.
- The Committee on Faculty Grants awarded $999,978.00 to 114 proposals submitted for the Faculty Research Grant and $12,000 to two proposals for the Pearl Chase Research Grant. Proposal submission was up 22% from last year, with 126 total proposals compared to 99 in 2019-20.

Council and Committee Meetings

CRIR consists of three standing committees: Committee on Research Policy and Procedures (CRPP), Committee on Library, Information, and Instructional Resources (CLIIR), and Committee on Information Technology (CIT). The Council met once as a whole during both fall and winter quarters, but regularly convened in its respective subcommittees. Both CRPP and CLIIR met seven times over the course of the year and the Committee on Information Technology met eight times.

The Committee on Faculty Grants (FG) met four times during spring quarter; all CRIR members participated as part of their CRIR service, with additional members added by Committee on Committees for divisional balance.

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.

Foreign Influence on Research
CRPP reviewed information from the Office of Research (OR) on international collaborations. In recent years, there has been increasing concern at the federal level about potential “attempts by foreign governments to unfairly exploit U.S. researchers for that country’s gain” (OR website). Faculty were notified about this issue. Researchers must report any conflicts and collaborators properly and should contact OR if they have any questions. Proposals may not go forward if they are not compliant with the new policy.

Revised Presidential Policy on Copyright Ownership
CRPP members agreed the revised policy was an improvement over the original. They sought clarification on how the policy regards software code produced by a project that is intended to be shared with researchers at other institutions and what procedures should be followed for compliance when the university exerts ownership. They also expressed concern over the use of “Significant University Resources” and whether it might unfairly render some projects property of the university, specifically in the cases when faculty receive Academic Senate Faculty Research Grants. They expressed a wish for the parameters to be clarified such that campus-based funding would be excluded from the criteria.
The members of CLIIR also found the revision to be an improvement overall. Like CRPP, they took issue with the use of “Significant University Resources” and wanted the policy to exclude Faculty Research Grants from the criteria. They sought more information as to how exactly disputes of ownership would be resolved. Lastly, they recommended that all campuses establish or maintain a copyright office to assist with questions regarding academic use of copyrighted materials as well as ownership.

**Office of Science and Technology Embargo Policy**
The University Committee on Library and Scholarly Communication (UCOLASC) solicited campus letters of support for its appeal to the Office of Science and Technology Policy to remove the one year embargo on public access to peer-reviewed scholarly publications, data and code resulting from federally funded research. The UCOLASC draft letter was unanimously endorsed by Academic Council. CLIIR Chair Berkowitz brought the issue to both CLIIR and CRPP. The committees both had broad discussions that included disagreements about whether the embargos were necessarily bad and whether benefits varied by discipline, whether datasets ought to be included in the policy, as well as the merits of open access overall and whether the transition to OA is disproportionately harmful to those with less resources. Overall, the letter received majority support and was sent by Divisional Chair Bohn to the Office of Science and Technology.

**Composite Benefit Rates**
The Composite Benefit Rates Workgroup announced its recommendations for mitigating the negative impacts of the implementation of composite benefit rates for postdoctoral scholars across the UC. The plan is for the Budget and Planning Office to issue a call for those whose projects were impacted. They recommended $2,000 as the minimum mitigation amount for eligible projects i.e. projects that suffered a smaller loss would not be eligible. The threshold at UC Berkeley and UCLA was set at $5,000; $2,000 is the lowest in the system and is being utilized by UCSC. CRPP, in hopes of minimizing impacts to faculty as much as possible, recommended a lower threshold of $500. This would impact grants from the near term to the next four years. Composite rates do not significantly hurt UCSB as a campus; our rates are lower than most other campuses. The recommendations were sent to Finance Management for implementation. The workgroup included Senate representation from CRPP members Liming Zhang (co-chair) and Forrest Brewer, along with Claudio Campagnari in 2019-20, and Harry Nelson (co-chair), Arturo Keller, and Liming Zhang in 2018-19.

**Fireeye Audit**
Alex Bustamante, Chief Compliance and Audit Officer at UCOP, took steps to request unfettered access to the FireEye system for members of the UCOP Cybersecurity Audit Team (CAT). The request cited regental policy but was made without limitations on scope or timing and it was not presented in the context of an audit. The CAT team subsequently withdrew their request. Following that, the CAT team initiated a systemwide audit of the FireEye system at all locations. The audit consisted of two phases. The first examined configuration and procedures related to the system. The second included a hands-on examination of two FireEye operational consoles by multiple members of the CAT team and their external auditor, Deloitte. The audit is now complete. All access granted to the internal and external auditors has been revoked.

**Report of the Academic Council’s Standardized Testing Task Force**
All CRIR members reviewed this report within their respective subcommittees. All agreed that although standardized testing is a complex issue, they felt this report was thoughtful and made reasonable recommendations. They expressed overall support for the recommendations of the report.

CRPP members took issue with the follow up letter from select members of the Task Force advocating for a more expeditious timeline to eliminate standardized tests in admissions consideration. They did not feel that this minority statement provided sufficient evidence to support its opposition to the recommendations of the Task Force.
ORU reviews were postponed for a year by the Office of Research due to COVID-19.

Proposed Presidential Policy on the Protection of Human Subjects in Research
CRPP felt the proposed policy seemed reasonable and did not identify any aspects that seemed radically different from the current structures in place. Members noted a potential discrepancy in which the policy referred readers to the website for procedures, but none were there.

Local Business

Proposal to Establish a Biological Engineering Graduate Degree Program and Academic Unit
CRPP members were supportive of the program overall. They felt that the proposed program and academic unit make sense for the future of the university. The members are concerned over the extent to which this program will compete with the existing Biomolecular Science and Engineering program. The members would like to ensure that the program has a strong start. Given the significant effort to start a program, and the current climate and budgetary adjustments related to the COVID-19 pandemic, they expressed reservations about the 2021 start date. Members questioned why none of the core faculty had appointments greater than 50% and whether that might hinder the success of the program. Finally, members would like to see an explanation of the Center for BioEngineering (CBE)'s role in the program and academic unit and an explanation of whether they are to remain separate entities.

CLIIR members noted that the program seems strong and needed by campus. They had no concerns as the proposed program does not require additional demand for library or instructional resources. The committee was unanimous in support of the proposed program and academic unit. They did note that the main issue with the proposed program seems to be how to support students but considered that issue outside their purview.

Proposal to Establish a 4+1 Master of Science in Geographic Information Science
CRPP members overall supported the proposed program. The rationale was strong and the request for one additional LSOE was reasonable. Members wanted to see data to justify the eligible GPA as well as a clearer illustration of the overlap in courses that shows the difference between the two year master's and the 4+1 program.

CLIIR was likewise overall supportive of the program. Members wanted to see issues of space addressed in further detail. The proposal indicated that some offices would be commandeered by this program; where will those people go? The committee rejected the request for priority access to active learning space as unreasonable; these spaces are heavily scheduled, popular spaces under general assignment by the Registrar. The committee was concerned by the proposed budget. Assumptions of funding contributed by Collaborate seem lofty. However, a campus-level commitment to funding is necessary. The proposal highlights a systemic problem of increasing enrollment; until the classroom building comes online, there doesn't seem to be sufficient space. Like CRPP, CLIIR members were unclear that the program had sufficiently outlined the requirements for students currently earning a master’s as compared to the 4+1 students; they must all follow the same requirements and it was not clear that they would in terms of final exams.

Proposal to Establish a Master of Education in School Psychology
Overall CRPP was supportive of the proposed program. In its initial review, CRPP felt that the justification of expanded enrollment was weak; given that the program was previously canceled due to floundering enrollment, members wanted to see a more detailed strategy for recruitment and discussion of what is different in 2020 that would avoid a repeat problem. Members also expressed a preference to see one ladder faculty added rather than the teaching professors requested in the proposal. They expressed concern over the trend of hiring teaching professors in lieu of research professors and felt that a master's program would benefit from an increase in research activity.

CRPP received responses to its comments. Several members remained skeptical regarding the demand for the program and whether assumptions of student enrollment were overly optimistic.
One member was likewise dissatisfied with the response to the question of LSOEs but acknowledged the possibility that the department is different. Although the response clarified the need for LSOE’s to manage practicum work, the members still felt they would not be a replacement for ladder faculty research capacity and they would still like to see ladder faculty included in growth plans. Members agreed this was necessary to support a robust research mission within the department and they maintained their recommendation of half ladder faculty.

CLIIR also reviewed the proposal to add a Master’s of Education in School Psychology. They were satisfied with the contention that no new library resources would be necessary to support the program. The proposal contained $10k for assessments and some members worried this amount was unrealistically conservative. Members also felt that the explanation of why this program was previously suspended was not sufficiently detailed and questioned whether the demand exists as projected.

Members received responses to their concerns regarding enrollment potential and costs for assessments which they deemed satisfactory.

Report of the Ad Hoc Committee on Online Course Evaluations

CLIIR overall supported the move to an online evaluation format. Members noted the difficulty of lowered return rates online and the significant impact this drop had for small classes; however, with more students having access to laptops/smartphones, this is not as big a problem as it used to be. The members had significant concerns about potential administrative efforts to incentivize evaluation participation, particularly tying the completion to grades or final exam scores which they considered unethical. Members noted that enrollment impacts and staff time to deal with ESCIs has been hugely mitigated by the move to online deployment. They also were in agreement that departments should deploy a consistent evaluation method, as opposed to a hybrid model of paper and online.

Report of the ESCI Ad Hoc Committee

CLIIR was supportive of the short and long term goals identified by the ESCI Ad Hoc Committee. Members acknowledged the difficulty of developing an effective course evaluation process but also the necessity of doing so. They appreciated the report’s fairly strong statement about the lack of correlation between ESCIs and teaching success and the suggestion to de-emphasize the relevance of ESCI scores in personnel reviews. Members noted the discrepancy in evaluation scores of required versus elective courses, the latter of which are often more popular. They appreciated the effort to solicit information on students’ engagement and level of commitment. They also commended the lack of any suggestion to incentivize participation. The members recommended continued follow-up by the Ad Hoc ESCI committee.

Proposed Automated License Plate Reader Policy

Overall, CIT members were supportive of the program. They commended campus efforts to realize cost savings and convenience for users. There was a question as to whether uses of the data/technology were possible that might not be detailed explicitly in the proposal. They sought more information regarding deployment logistics and expressed a desire for more transparency. They noted that the provisions listed in paragraph 3.K. “Sharing” are quite broad. Members were curious whether a greater buffer time between data collection and review could be useful to protecting privacy. They also noted that data retention itself is a liability and questioned the extent to which the data could be anonymized as the policy intends. Members were interested to learn more about the costs as compared to the perceived benefits, particularly those of data retention.

Video Cameras and Video Surveillance Policy

CIT agreed to endorse the policy with the recommendation that the Video Camera Committee add a faculty representative to provide guidance on research issues. Members commended the policy’s specifics about different camera uses for research, for example the remote monitoring of instruments. At the end of the school year, Chair Frew solicited a CIT representative to join the Video Camera Committee.
Library Updates

Reorganization
In Spring 2019, faculty and subject librarians raised concerns about the planned reorganization and requested a one-year moratorium on changes in the library. However, some aspects including recruitments were already underway and some actions could not be put on hold. Librarian Antelman continued to meet with department chairs to address concerns in the 2019-20 school year. Collection development purchasing duties have not changed. Allocations are tied to majors, number of faculty, number of grad programs/students. The numbers are calibrated annually, but the overall approach has not changed in a long time. A greater focus on collections strategy is needed.

The reference desk was eliminated in late Summer 2019. Overall use of librarian time on the desk was not efficient. Reference transactions had decreased by about 85% in the past two decades as traffic has moved to the internet. Staff also decreased by 20% during that time. There was substantial similarity in the questions that were formerly asked at the Service Desk and Reference Desk. An integrated service point has been established at the Service Desk. The library assesses student responses to the changes by surveying graduating students. The number one issue for students is insufficient power in the parts of the library that were not renovated as well as crowding during dead week and finals. In response, the policy was changed last year to require student ID earlier for access during dead and final weeks, which should decrease the number of non-UCSB students present. The amount of space open for 24 hours was also increased.

Open Access
Meetings continued with Elsevier and Wiley this year but no deals have been announced. An Open Access agreement with Springer Nature was announced in July 2020.

Annex 2 Site Change
Annex 2 is the last remaining offsite storage facility for library materials. The UCSB Library is in the process of leaving the site, with the goal of finishing by October. It costs $23,000 per month to rent the facility and the library is looking for a more sustainable storage solution. The storage includes some music materials which will be returning to campus; compact shelving is being built for these materials now. LPs are coming back to the library. Additionally, Art and Architecture materials, map cases and a GIS photo collection will be going to Iron Mountain for climate-controlled storage. The library is considering space under Harder Stadium for special research collections; it would require security and climate control. All materials are being retained, just their location is changing.

Hathi Trust
Hathi Trust, as a result of the COVID-19 pandemic, began providing temporary collections access to members (4.5-5 million volumes) digitized by Google. This is controlled digital lending that has already been vetted by lawyers and experts; the access will only be provided until the stacks are able to be reopened. The Hathi Trust is open to the world, but additional benefits are extended to members, including UC affiliates.

Reopening the Library
The vision for reopening the library includes three phases. The first is part of the research ramp-up in consultation with VCR Incandela in which the library will initiate request and pickup service – "curbside delivery." Materials may also be mailed if someone is not in town or unable to come to campus. The second phase entails opening the building to researchers to come in and obtain materials. Librarian Antelman intends to continue the paging service, however the current Hathi Trust access terms require that physical copies of digital material are not available. Therefore, the library cannot circulate those books in order to avoid losing digital access, but will provide books (not digitized) that are not available through Hathi Trust access. Book drop boxes were reopened at the main library as well as at the Music library to collect materials before people left for the summer. Returned books were left to sit for a while, even though the CDC released updated guidance that the potential for disease spread through surface contact is quite low. There is no need to urgently re-shelve since no one is there. Minimal staff completed a significant amount of scanning for course
reserves in preparation for summer courses. The third phase is for staff and students to be able to safely re-enter the building. Though plans are not definitive, the assumption is for at least some human presence in Fall and the library wants to provide services and collections access when that time comes. All departments are tracking expenditures related to COVID-19; the library has installed plexiglass for the service desk and procured a massive amount of wipes and hand sanitizer. The major costs are access fees for electronic collections, streaming media, and online experiments.

**Instructional Development Updates**

**Classroom Building**
The campus secured a general contractor for the new classroom building who is working with architects on the design phase (unusual for the campus). Proposals were sent to the Office of the President to obtain the next round of funding. The architects finalized plans for external materials, treatments, some of the interiors, and provided an updated construction schedule. Preconstruction activity commenced during Winter and Spring 2020 quarters to prep the site. The bike path is being rerouted toward the UCEN. The barracks building by Psychology will be razed; contaminated soil will need mitigation. Redwood will be removed for access. Groundbreaking is intended by the end of summer, with Winter or Spring 2023 the intended date for opening.

**Assistive Listening System Upgrade**
ID undertook the Assistive Listening System (ALS) Upgrade Project. Any space that seats over 50, per CA building code must have adaptive listening capability. The project is done and was under budget with funding from the Campus Accessibility Committee.

**Infrastructure for Remote Instruction**
The transition to remote instruction highlighted the need for a new registration system, based on how course ‘crashing’ took place in Spring quarter. This period has added impetus to move to a commercial student information system. The current system was produced in house. For normal operations, it does what it’s supposed to; however, commercial outfits like Banner have more options to handle special needs, as in the current extreme situation. The most vexing issue is Zoom bombing. Instructional Development has provided simplified instructions for how faculty can safeguard against these intrusions.

There was a question of whether Gauchospace would be able to handle the volume of traffic; there were some freezing issues at the beginning of Spring quarter. High-traffic times are being targeted by administration to give the server more resources to handle the load. Between midnight on Monday March 30 until 4pm Thursday April 2, Gauchospace received 4.5 million hits. Gauchocast had 1.3 million hits of video viewed or downloaded in one week. An increased ability to handle mass traffic is one of the benefits of having moved to the cloud.

One element not yet in place is a chat facility such as Slack. Such a tool must be FERPA compliant and easy to populate with course enrollments. The campus is adopting Nectir. The Library, ID, and Collaborate have committed funds and the contract is in place.

One challenge has been the ability of classroom services staff to assist remotely. Staff have been trained to use the Zendesk ticketing system to provide online tech support since they cannot do so in person. The average response time in Spring quarter was no more than five hours compared to the industry average of 23 hours.

**Information Technology Updates**

**Campus IT Assessment**
Every three years the Chief Information Officer (CIO) undertakes an intensive assessment process to examine information technology across the UCSB campus. He completed the first assessment in
June 2016, and the second concluded in December 2019. This assessment focuses on major accomplishments, expenditures, management effectiveness, governance, the campus IT labor force, the present state of technology on campus, and business and mission attainment risks associated with IT.

A comparison of the 2016 and 2019 assessments revealed rising expenses, consumption, and complexity across UCSB’s IT ecosystem. UCSB’s present IT capabilities related to support, easy-to-use services, and a complete portfolio of digital capabilities remain out of sync with rising societal expectations and increased use. Matching societal and community expectations to the skills and capabilities of our labor force requires the Office of the CIO to put substantial efforts into labor force transformation, engagement, satisfaction, and professional development.

**Security**

Multiple funding sources have contributed to improving the campus security posture. The Chancellor funded the Palo Alto Unified Threat Management system in FY 2016-17. UCOP funded a FireEye device. The Common Good Fee (CGF) has funded a Lastline appliance, Splunk, Sophos Server & Endpoint Malware Protection, a new VPN, and a UCOP Risk Assessment in addition to adding one new Security staff member.

**Zoom**

There were 8,000 instructional sessions in the first week of spring quarter with 6 “zoom bombing” incidents. Although members of the UCSB Faculty Association expressed concern about security infrastructure with Zoom, the numbers demonstrated a fairly successful experience with the platform in terms of security controls. Moreover, per the CIO, Zoom has been fairly responsive to critiques. At the start of the shutdown, Zoom announced it was pivoting its internal focus entirely to security improvements, with other feature development on hold. The program has 70 “common vulnerabilities.” All programs have these; Skype has 69 for comparison. The more standardized a tool becomes, the more hackers can concentrate their attacks on that tool. More than 50% of UCSB Zoom users are accessing the program through macs, which have additional security vulnerabilities within the program. Zoom’s encryption level is something to be concerned about but not in the short term. Currently it is considered “breakable” which is why governments advise against using Zoom to communicate sensitive information. The CIO does not see substantive security issues for the campus apart from “pilot” error or broader sociological issues. The controls are fairly reasonable, though there is a large learning curve. For the things we are doing on campus, it is not worrisome from a FERPA or intellectual leakage aspect. Zoom is as secure as any tool is going to get right now.

Some faculty reported struggling with the extensive options for configuring Zoom settings and requested that the campus produce a document pointing to recommended settings. “Keep Teaching Keep Learning” (https://keepteaching.id.ucsb.edu/) exists as a resource run by Instructional Development providing tools for faculty in the remote teaching realm.

**Faculty Grants**

**Policy and Procedures Updates**

The following updates were approved or discussed:

- The committee agreed to update the guidelines to reflect that postdocs cannot be funded using Faculty Research Grant money. This reflects a consistent position that this money should not be used to pay benefits.
- The committee discussed the computer funding policy and agreed to leave it as is. Occasionally requests are made for laptops that are described as necessary for the research, but will be used for work beyond the life of the research project. Members agreed to continue to leave this to both the proposer, to make the case for the needed item, and to the reviewers to decide.
- New phrasing was introduced to specify travel restrictions in accordance with University Policy AB 1887 prohibiting use of state funds for travel to certain states.
• The committee did not find it necessary to stipulate encyclopedias in the list of what is considered or not in publication charges, and leave the decision to the reviewers if an argument is made that the work is a research or creative publication.

• The committee stipulated that journal fees are not eligible for FRG funds. Requests have been made more recently for the high cost of open access journals; there is a fund set up through the library that can offset these costs.

• The committee considered whether a PI could apply for a grant autonomously in addition to applying as a Co-I. The members determined that only one proposal per PI is acceptable; if co-PI’s want to apply independently for different components of the same project, they can, but there cannot be multiple proposals for the same professor.

Travel Grants

• The committee approved clarifying language to the Travel Grant Frequently Asked Questions document adding, “session chair” as an example of a position that is not supported by travel grants. The Senate has received an increasing number of applications for travel grants for roles/purposes that are not explicitly covered. CRPP members agreed that it is not possible to rule on any blanket exceptions by discipline; within a given field, a position generally considered a non-presenter may rise to the standard of funding, but that does not mean every request will be appropriate. If faculty requests are denied, they have the opportunity to appeal their situation to the co-chairs of the Committee on Faculty Grants.

• In recent years, travel grants had been erroneously awarded to those traveling internationally in back to back years, even though the rule only allows funding for international travel every other year. Because domestic travel is funded annually, some faculty had argued that they should receive the domestic rate and choose whether to spend the lesser amount on international travel. The committee ruled to keep the policy as is and only fund international travel every other year, regardless of whether a domestic trip is taken.

• The committee considered the policy designating a professor ineligible for a travel grant due to being on unpaid leave from the University. The committee upheld the current policy but pledged to revisit the concept at a later date.

• CRPP considered a revised structure for faculty travel grants i.e. dropping the tiers of international travel in favor of simplified domestic and international rates. Members weighed the pros and cons and, because of the uncertainty of the travel landscape, decided that any changes should be tabled and revisited in the 2020-21 year.

• The members clarified the current reimbursement policy as follows: if a conference is postponed to next year, that can still be counted/funded as a trip from 2019-20; in practice that may mean some people receive funding to take two trips next year. The current caps apply, based on the destination. However, if a non-refundable ticket was purchased with grant money and the trip was not completed, a second trip cannot be funded for the given term.

Summary of Grant Applications and Awards

The Faculty Research Grant (FRG) budget allocation for the 2019-2020 cycle was $1,000,000 and the Pearl Chase Research Grant (PC) budget allocation was $32,000. During this cycle, 126 completed applications were reviewed by the Committee on Faculty Grants; 116 proposals were fully or partially funded.

Due to the COVID-19 pandemic, the co-chairs allowed extensions to the submission deadline (March 29, 2020). Upon request, or if an initiated application was discovered as incomplete in the submission portal, faculty were given through April 8, 2020 to submit an application. It was announced by email that the opportunity for special accommodations existed for those in need.

The total amount of FRG funds awarded was $999,978.00. PC funds awarded totaled $12,000.
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Membership (Organized by Committee)

Committee on Research Policy and Procedures (CRPP)

Jennifer Kam
Heejung Kim
Greg Mitchell
Yasamin Mostofi
Liming Zhang, UCORP Rep
Joseph Incandela, Ex Officio
Jennifer Smith, Non-Senate Academic Rep
Jianwen Su, Chair of CRIR and CRPP

Committee on Library, Information and Instructional Resources (CLIIR)

Forrest Brewer
Hilary Bernstein
Kathleen Foltz
Karen Lunsford
Kristin Antelman, Ex Officio
Kathryn Baillargeon, Non-Senate Academic Rep
Richard Caldwell, Library Rep
George Michaels, Consultant
Paul M. Berkowitz, Vice Chair of CRIR, Chair of CLIIR, UCOLASC Rep

Committee on Information Technology (CIT)

Dirk Bouwmeester
Ignacio Esponda
Lisa Jevbratt
Francis Macdonald
Kenneth Rose
Matthew Hall, Ex Officio
James Frew, Chair

Committee on Faculty Grants (FG)

Hilary Bernstein
Dirk Bouwmeester
Forrest Brewer
Gary Charness
Dorothy Chun
Samantha Daly
Ignacio Esponda
Kathleen Foltz
James Frew
Lisa Jevbratt
Jennifer Kam
Maryam Kia-Keating
Heejung Kim
Rachael S. King
Xiaorong Li
Karen Lunsford
Francis Macdonald
Greg Mitchell
Kenneth Rose
Greg Siegel
Liming Zhang  
**Paul Berkowitz, Co-Chair**  
**Jianwen Su, Co-Chair**  

Alexander Lebrun, GSA Rep  

Casey Hankey, Advisor