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:

- The Council responded to many issues that either resulted from or were amplified by the COVID-19 pandemic, including salary curtailment, vaccination mandate, and various aspects of online learning and data management. Additional efforts were devoted to disseminating information via faculty Town Hall meetings.
- The Committee on Faculty Grants awarded $927,515 to 94 proposals submitted for the Faculty Research Grant and $35,857 to four proposals for the Pearl Chase Research Grant. Proposal submission was down 13% from last year, with 110 total proposals compared to 126 in the previous cycle. Subsequently, Early Career Faculty Acceleration Grants awarded $7,000 to 198 junior faculty on campus.

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. CRPP met seven times, CLIIR met four times, and CIT met five times.

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

All meetings were conducted via Zoom due to the pandemic.

Systemwide Issues and Reviews

All systemwide issues that CRIR (or select subcommittees) responded to are listed below. Issues that CRIR reviewed but chose not to opine on are not included.

**Proposed Curtailment Program**

Members of CRIR found the proposed curtailment program to be more egalitarian than the most recent furlough, particularly its stated intent to minimize impacts for the lowest paid employees, but ultimately concluded its result would be less pay for more work. CIT encouraged the university to consider certain exemptions or prioritization for IT staff, given the critical nature of telecommunications and remote computing under pandemic circumstances. Additional exceptions were mentioned for pre-6 Unit 18 lecturers.

**Report of the Online Undergraduate Degree Task Force**

CLIIR and CIT members resoundingly rejected the possibility of the UC offering online undergraduate degrees. They did not feel that online degrees could deliver anything close to the campus experience.
Although the report of the task force was completed prior to the Covid-19 pandemic, members of CLIIR felt that their recent remote teaching experience reinforced the shortcomings of online teaching platforms. There were concerns about faculty workload and discrepancies between departments, particularly those that require physical contact, such as the arts. Members also expressed concerns about the impacts to staff, which they felt were underestimated in the report, as well as the necessary reallocation of resources to deliver online modules, a likely consequence of which would be the diminished availability of in-person options.

CIT felt there was not sufficient need to justify the consideration of an online degree program at this time. Members expressed concern that the online environment teaches students to “find answers,” rather than build their capacity for scientific thinking. Although the task force attempted to identify Characteristics of Educational Quality at the UC to assess their ability to be delivered in various modules, members criticized this approach, questioning whether some of the characteristics could actually be isolated from one another. They noted the challenges of scaling various campus computing systems required to support such an endeavor, such as higher licensing fees, expanded network capacity, and greater need for support staff/resources; they also expressed concern about potential impacts to disadvantaged populations in terms of their ability to access remote content.

Faculty Salary Scales Task Force Report
The Council lauded the goal of promoting salary equity and transparency, but saw significant problems with the notion of eliminating off-scale salary increments and implementing new salary levels consistently across the 10 UC campuses. They felt that the criticism of off-scale salaries was fundamentally flawed in that it did not take into account numerous legitimate reasons that justify differences in pay among faculty at the same step or rank. They noted that parts of the personnel system at present are heavily organized around the concept of off-scale pay and that a fundamental revision of the personnel process would be necessary (and difficult) if the mechanism were to be eliminated. They also did not see how a revised scale would help to solve the need for off-scale pay in retention offers. Moreover, they found that additional information was necessary in order to consider the logistical issues for existing faculty and whether potential problems could be addressed or avoided within the proposed framework. The members rejected the notion that salaries should be uniform across campuses given the vast differences in cost of living; they argued that a change in the flat scale wouldn’t solve inequities in the system, and would likely create new problems in stymying the current apparatus for rewarding excellence.

Proposed Presidential Policy - Business and Finance Bulletin, IS-12 IT Recovery
CRPP and CIT reviewed the proposed policy on IT-12 IT Recovery. Both groups felt the policy left out significant variables including the amount of unprotected data on campus and the appropriate recovery level. They felt more information was needed to produce a rigorous cost benefit analysis. They agreed the policy was jargon heavy and therefore difficult to assess for its potential impacts to faculty. They were concerned that this is a sizable unfunded mandate for campuses although they appreciated that the policy outlined a process for exceptions due to cost-benefit justification. They wanted to see clearer leadership designations, including participation from the campus CIO.

Innovative Learning Technology Initiative (ILTI) - Recommendations for Future State
CIT reviewed the ILTI and agreed that the initiative is ripe for reorganization. However, they expressed that the recommendations seemed to assume that online learning is necessarily better or cheaper, and stressed that the motivation must be pedagogical rather than merely presumed financial savings, which are not a given. They questioned whether block grants are still appropriate given the bottom-up innovations currently taking place in online education. They felt there was a need for a better assessment of online courses beyond completion rates, and that any expansion of online learning should be based on the course’s ability to successfully deliver its stated learning outcomes.

UC Research Data and Tangible Research Materials Policy
CRIR members felt they didn’t entirely grasp the goals and motivation for this policy, and overall they opined that it presented an enormous burden for researchers with providing sufficient guidance or resources to execute the requirements. They also were concerned about how the policy might
represent a massive change in the relationship between researchers and the UC; they disputed the distinctions presented by the policy between intellectual property, data, and "scholarly works." They felt the policy would be more palatable if broken into separate issues specific to the vastly different disciplines at the university; for example, there were significant concerns about how the policy relates to human subjects/interview material, as it seems to contradict standard IRB data retention rules. The council questioned how this policy overlaps with efforts already underway to preserve digital research through the library, which is not remotely equipped to undertake the scale mandated here.

**Proposed Presidential Policy BFB-BUS-43 Purchases of Goods and Services; Supply Chain Management**

The Council reviewed the proposed policy in its respective subcommittees and invited feedback from Jacob Godfrey, Chief Procurement Officer, and Heather Perry, Sustainable Procurement Program Manager. The policy seemed well-motivated by evidence of direct gain to California finances from investments in local businesses, and some members were interested in supporting the goal of harnessing the power of UC investment to help small businesses. However, members found several flaws in the current iteration, both as an unfunded policy mandate and the rapid adoption schedule (prior to any Academic Senate response).

The Council had concerns about the strict certification requirements and time delays involved for a business to become certified. While there are already thousands of small businesses listed in the recommended databases, the ability of the tools to search for specific expertise or instrumentation is extremely limited. Also, there are few opportunities for small businesses to create advanced instruments or services competitively; bids from certified small or disadvantaged companies are likely to be difficult to solicit and less cost effective. The Council questioned the decision to exclude capital expenditures from these requirements. Construction spending is heavily controlled by purchasing contracts and partnerships with smaller local contractors who could offer the university tangible savings in the procurement of furniture, fixtures, and construction.

Members were also concerned that there are already concessions in place to prioritize these businesses and thus this requirement will likely reduce the existing investment in strategic suppliers and result in artificially high pricing by small businesses. There were concerns about the extra time required to file additional forms, and thus the potential for greatly increased lead time (much of which will fall on junior PIs and overextended staff), making purchasing even more onerous and potentially jeopardizing recruitment and retention by the UC.

**Classification of Gifts and Sponsored Awards Policy Draft**

CRPP reviewed this policy and invited comments from Vice Chancellor for Research Joe Incandela (Ex Officio) as well as Assistant Vice Chancellor for Research Jean Jones. Based on their feedback that the Office of Research does not perceive negative impacts as a result of this policy, the committee supported the draft in its current form. The committee commends the expanded toolkit for campuses to determine the best classification to serve the needs of both funders and the respective campus.

**Proposed Revisions to the Presidential Policy on Native American Cultural Affiliation and Repatriation**

CLIIR reviewed the proposed revisions and solicited feedback from Professor Douglas Kennett, Curator of UCSB’s Repository of Archaeological and Ethnographic Collections. While committee members recognized the need for the policy to align with legal imperatives, they expressed concerns that meeting the deadlines (beginning with January 1, 2022) for the preliminary Inventory and Summary of materials (described in C.5) may no longer be possible given the pandemic induced limited access to campus. In addition, they noted the substantial amount of additional work that the policy will require, apparently with no additional funding granted by UCOP.

Professor Kennett confirmed that UCSB and the Chumash community together curate an extensive Repository of Human Remains and Cultural Items. Although the Repository already keeps excellent records, the entire inventory will need to be re-inventoried in order to be updated to align with the
revised—and expanded—definitions of Cultural Items included in AB 275 and the proposed policy. Moreover, the process of repatriating the Human Remains and Cultural Items will require negotiation, time, protected land (for reburials), and funds. Professor Kennett confirmed that meeting the deadlines under pandemic conditions will be difficult. In addition, each campus’s Chancellor is responsible for funding the implementation of the policy, as there were no funds allocated by UCOP. Although the required Repatriation Coordinator has been appointed, funds still need to be allocated for the requirements to be completed.

**Proposed Presidential Policy SARS-CoV-2 (COVID-19) Vaccination Program**

Members agreed that a policy defining a vaccination requirement for campus access is important to speed the return to on-campus research and teaching. While this policy has less “teeth” than the standard student immunization policy, they felt it was reasonable given the unique landscape presented by COVID-19. Members found that rapid implementation of such a policy was appropriate given the social and political constraints currently at play. Members are curious as to how this policy will evolve and future requirements for booster shots. While not likely a concern for the policy’s implementation in Fall 2021, more guidelines may be necessary in the future regarding being “up-to-date,” rather than being vaccinated. Members have questions about local campus plans for enforcement of this policy. Given that UCSB is an open campus, discussion is urgently needed regarding policy enforcement with respect to building access. Even if student, staff and faculty vaccination statuses are known, it is not clear how the campus can rigorously control building accessibility. Reliable means for verifying vaccination, i.e. spot checks on campus, are likely needed to ensure policy compliance and protect the campus community from visitors and the public.

**Local Business**

**Compliance with the Commencement of Academic Activity Regulation for Title IV Financial Aid**

CLIIR and CIT members reviewed this topic and unanimously supported the recommendation of the workgroup, to emulate the UC Davis model for recording student participation in coursework for the purposes of federal reporting. Members were unanimously in favor of avoiding extra administrative tasks for instructors, despite the apparent silliness of requesting students to perform the same assignment for all courses. CLIIR members questioned whether the effort would be considered sufficient and if the campus would inevitably run into problems of compliance similar to those experienced by UC Merced. Some individuals suggested that the exercise be limited to those that are actively receiving federal financial aid, and that it makes clear the exercise is for verification purposes only and does not supplant any course-specific attendance requirements set by the instructor.

**Gauchospace/Canvas Assessment**

In March, CLIIR welcomed Hector Villicana, Executive Director, Letters & Science Information Technology (LSIT) for a discussion of the campus online learning platform. He presented the impending decision faced by the campus of whether to upgrade its current version of Moodle (Gauchospace) or switch to Canvas. Moodle 3.9 will be supported until Spring 2023, after which only Version 4.0 will be serviced. Moodle 4.0 has a dramatically different user interface; if the campus plans early, steps can be taken to potentially limit disruption and improve the experience. Many students have complained about Moodle (Gauchospace) being clunky; transfer students have used Canvas at their community college and report that it is a superior product. Nearly all other UC campuses have transitioned to Canvas already. The current version of Moodle has allowed for significant tailoring to the needs of UCSB faculty, adding to an unseen cost to run the platform. Canvas is vendor-hosted, which is not necessarily cheaper but the responsibility is redirected. At the time, faculty members did not feel equipped to opine without comparative experience and the issue will be revisited in the coming year.

**Research Updates**
UCSB performed extremely well with grant awards this year, surpassing the amount received in FY19-20 and up 40% since 2016. The UC lobbied congress for funding to aid in research recovery expenses.

Research was gradually ramped up over the year, with labs designated essential space and deemed a priority by the state and the county since the work cannot be done elsewhere, and selected undergraduate designated essential workers. Transmission of COVID-19 was kept well under control due to strict mitigation procedures.

New Federal Conflict of Interest policies were issued concerning engagement with other countries and export control.

OR launched RAP (Research Assistance Program) to offer up to $8k grants in flexible research assistance funding to qualifying faculty whose research was severely impacted by the pandemic.

**Library Updates**

**Open Access**

The UC finalized Open Access contracts with Springer and Elsevier publishers this year. The deal with Elsevier includes reading access to 2019 and 2020 issues when the contract was suspended, which were not previously available. It is predicted that Nature journals will also adopt an open access agreement in the near future.

**Reopening and Budget**

The library staff pivoted in the year to offer remote services through strengthened collaboration with Instructional Development. They began a pickup and delivery service for access to circulating collections open three days a week, and offered appointment-based access to special collections along with study rooms available for classes or office hours.

In March, the library received approval on its initial plans to begin a phased reopening beginning Spring quarter. This plan included various safety mechanisms such as limited hours, seat reservations, Covid test badge reading, etc. The phased process worked well although it prompted concerns that some procedures will not be sustainable as access scales up its reopening. For example, library staff will not be able to continue the level of COVID-19 badge screening, with more entrances open and higher traffic, as was feasible when access was more limited.

Access to many library holdings was maintained through the Hathi Trust through the academic year; however this digital access will cease once libraries reopen more broadly near Fall 2021 and physical holdings become accessible again. The smaller campuses that lack large physical holdings greatly benefited from this online access.

The Library continuously prepared for budget cuts over the last year. They saved money during the last fiscal year having been closed and not having to pay for Elsevier. However, the operations budget remains significantly underfunded; the allocation is $1.6 million but the ongoing cost is closer to $4.5 million.

The California Digital Library, which has operated in essence as an 11th library in the UC system, was asked to plan to move its centrally-managed library acquisition budget, totaling $11.1 million, to UCSD with the expectation that each campus will contribute to its ongoing costs in the future. CLIIR, via UCOLASC, submitted a letter to the Academic Council urging support of the library’s funding and to lobby that CDL funds not be drawn from existing library budgets. The potential budget transfer has been postponed until at least FY2023.

**Instructional Development Updates**

**Sustainable Funding Plan**

Instructional Development created a sustainable funding plan based on core services, Summer
Sessions workload allocation, and recharge operations. Costs are going up despite no increase in funding over the past 10 years, and services cover a far greater number of faculty and students. Demands for TA development and class support services exceed budget appropriations. CLIIR issued a memo in support of Instructional Development’s requests.

**Infrastructure for Remote Instruction**
ID continued to partner with the library to provide rooms to graduate students for remote instruction. Rooms also continued to be available in HSSB, along with equipment available for instructors to check out (headset, webcams, etc.).

ID and CITRAL offered the very successful program RISE (Reimagining Instruction for the Student Experience) Institute in Summer 2020 to 80 participants over 3 weeks. This program sought to assist instructors in the redesign of classes for remote or hybrid delivery. It was offered again in Summer 2021.

**Planning for Fall**
Multiple General Assignment classrooms were equipped for simultaneous synchronous instruction this year, along with major AV upgrades, funded by ID in conjunction with the EVC, Collaborate, and Facilities Management. The 10 largest lecture halls were able to receive equipment upgrades and major technical deferred maintenance. Outdoor wireless capacity has also been expanded. Faculty mini grants were made available up to $1k for instructional support.

Construction is on schedule for the new classroom building. As of April, all subterranean work and major concrete pours were completed. The building remains scheduled to be open in Winter of 2023.

**Information Technology Updates**

**Multi-Factor Authentication Expansion**
The University has undertaken a campaign to encourage broader usage of Multi-Factor Authentication (MFA) within the scientific community. This security system is encouraged for critical infrastructure, servers, routers, etc. The campus rolled out the Duo MFA system for access to UCPath effective December 3, 2020. UCSF paid $1.14 million last year in a ransomware attack and it was felt this could have been avoided had MFA security been in place.

**Campus VPN**
UCSB received anecdotal feedback during the year about users in China experiencing problems accessing Gauchospace and Zoom and other performance/connectivity issues. This was due to limited fiber capacity connecting China to North America with limited options for a solution, though the campus briefly engaged with Berkeley to explore some cost-shared options.

**Amazon Web Services**
Work is being done to migrate Gauchospace to Amazon Web Services. The North Hall data center is not a highly available data facility. The campus has experienced connectivity problems due to fires so this move will mitigate regional disruption. There are only 3 major players in this space (Microsoft, Google, and Amazon), and they all have problematic aspects.

**Accellion Data Breach**
In April, UCOP announced that a major data breach occurred in December 2020 in which students, employees and their dependents, and retirees all had their personal information compromised when its Accellion file transfer appliance was subject to a cybersecurity attack. UCOP is heading up the investigation with the FBI. There was minimal action for individual campuses to take, although UCSB’s security team hosted workshops for the campus on the protection of personal data, available at [security.ucsb.edu](http://security.ucsb.edu).
Faculty Grants

Faculty Research Grants

- CRPP considered how the faculty research grant guidelines might be modified in order to specifically address the challenges researchers faced in the COVID-19 landscape, but ultimately the committee felt things should be left as is, considering the major limitations imposed due to the grant source being state funds.
- CLIIR discussed the challenges and confusion related to the subvention category, including the cap of $2k and the lack of a clear tracking mechanism for faculty royalties for repayment. More publishers are bundling services under a subvention umbrella to include things faculty could potentially do themselves such as indexing, copy editing, image copyrights, etc. Ultimately the cap was removed from the policy as was the requirement for repayment. The PI is still required to provide a contract with the proposal for any subvention request, but ultimate funding decisions will be at the discretion of the Faculty Grants Committee.
- 5 states were added to the Attorney General’s [AB 1887 travel ban](https://leginfo.legislature.ca.gov/faces/billText.xhtml?bill_id=20212022%3aab%3a01887) using state funds effective on the following dates:
  - July 1, 2021: Florida and Montana
  - July 8, 2021: West Virginia
  - July 29, 2021: Arkansas
  - August 1, 2021: North Dakota

Travel Grants

- In Fall quarter, CRPP discussed various mechanisms to continue to support faculty with travel grant funds despite the university policy to restrict in person travel for non-essential reasons. The committee approved a policy to fund up to 2 virtual conferences, capped at $600 per year per person. They also loosened the current policy to allow for the inclusion of membership dues, which previously were only funded if the conference required them. All eligibility criteria were maintained.
- Just prior to the start of the new fiscal year, CRPP moved to reopen travel grants for in-person conferences due to UCOP rescinding its restriction on non-essential travel. The committee restructured the funding tiers to allow for a permanent choice of virtual travel, to be available once per year similar to other domestic categories. International travel remains available only every other year. Funding rates were also consolidated to fewer tiers and changes are as follows:
  - California rate increased from $400 to $450
  - Virtual tier established at $250
  - All other U.S. locations, Canada, Mexico and Puerto Rico $900
  - All other overseas locations $1500

Summary of Grant Applications and Awards

The Faculty Research Grant (FRG) budget allocation for the 2021-2022 cycle remained at $1,000,000 and the Pearl Chase Research Grant (PC) budget allocation was $61,000. During this cycle, 110 completed applications were reviewed by the Committee on Faculty Grants; 98 proposals were fully or partially funded and 12 proposals received no funding.

The total amount of FRG funds awarded was $927,515.00. PC funds awarded totaled $35,857.00.

### Faculty Research Grants Funding Amounts and Rates by Division

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<tr>
<th>Division</th>
<th>Amount Requested</th>
<th>Amount Awarded</th>
<th>Funding Rate</th>
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<tr>
<td>ENGR</td>
<td>$79,319</td>
<td>$20,639</td>
<td>26.02%</td>
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Early Career Faculty Acceleration Grants Program
After the proposal review cycle, Divisional Chair Scott approached CRIR Chair Brewer with a proposal to create an Early Career Faculty Acceleration Grants Program to give extra assistance to all junior faculty on campus, in light of Covid-19 impacts to research, using carry-forward funds from Academic Senate Faculty Research Grants. In July, grants of $7,000 were distributed to 198 early career faculty for use through December 31, 2022. The Academic Senate contributed $593,000; this amount was matched by the Chancellor’s office, with additional funds contributed by the Office of Research.

Carry forward Issues
Subvention requests for e-books
Funding for the California Digital Libraries
UCSB Online Learning Platform Transition
Native American Repatriation
Membership (Organized by Committee)

Committee on Research Policy and Procedures (CRPP)

Jennifer Kam
Heejung Kim
Wolf Kittler
Paasha Mahdavi
David Stuart
Joseph Incandela, Ex Officio
Jennifer Smith, Non-Senate Academic Rep
Forrest Brewer, Chair of CRIR and CRPP, UCORP Rep

Committee on Library, Information and Instructional Resources (CLIIR)

Isabel Bayrakdarian
Hilary Bernstein
Kathy Foltz
Carlos Garcia-Cervera
Greg Siegel
Kristin Antelman, Ex Officio
George Michaels, Ex Officio
Kathryn Baillargeon, Non-Senate Academic Rep
Richard Caldwell, Library Rep
Karen Lunsford, Vice Chair of CRIR, Chair of CLIIR, UCOLASC Rep

Committee on Information Technology (CIT)

Dirk Bouwmeester
Racha El Omari
Ignacio Esponda
Francis Macdonald
Kenneth Rose
Matthew Hall, Ex Officio (ended 2/5/21)
Shea Lovan, Ex Officio (started 2/5/21)
James Frew, Chair

Committee on Faculty Grants (FG)

Isabel Bayrakdarian
Hilary Bernstein
Dirk Bouwmeester
Racha El Omari
Ignacio Esponda
Kathy Foltz
James Frew
Carlos Garcia-Cervera
Amy Gonzales
Tobias Hollerer
Tomoyuki Ichiba
Jennifer Kam
Heejung Kim
Wolf Kittler
Amelia Kyratzis
Francis Macdonald
Paasha Mahdavi
Kenneth Rose
Greg Siegel
Jenni Sorkin
David Stuart
**Forrest Brewer, Co-Chair**
**Karen Lunsford, Co-Chair**

Pedro Craveiro, GSA Rep
Casey Hankey, Advisor