To the Faculty Legislature, Santa Barbara Division:

Annual Report 2012-2013

COUNCIL CHARGE
The charge of the Council on Research and Instructional Resources (CRIR) is to promote an optimal research and educational environment, and provide advice in a manner that fosters quality and diversity of research and instructional programs in the following ways:

1. Formulates a Senate position on all matters pertaining to research and teaching in the Division.
2. Determines policy pertaining to research funds allocated to the Council; administers and allocates its funds according to established policy; determines recipients of faculty research grants and recommends the recipients of major instructional improvement/assessment grants.
3. Advises the Chancellor and informs the Division of budgetary need for support of research and research travel and of the development, budgetary needs and management of instruction, and information technology for instruction and research in the Division.
4. Makes recommendations on the regularly scheduled reviews of Organized Research Units (ORUs); reviews and makes recommendations on proposals regarding ORUs.
5. Acts for the Division in all matters of Library policy and administration and advises the Chancellor and the Division accordingly; reviews and makes recommendations concerning the print, electronic, space and growth needs of the Library; participates in administrative reviews of the Library and formulates recommendations to the Chancellor, the Division and the Council on Planning and Budget as appropriate.
6. Participates in reviews of units administering computing and instructional resources and makes recommendations accordingly; maintains liaison with the Office of Information Technology.
7. Maintains liaison with the University-wide Committees: on Information Technology and Telecommunications Policy; Library; and Research Policy; coordinates with the Council on Planning and Budget where annual budgetary and resource allocation issues are concerned.

COUNCIL FUNCTION
Two of the standing committees of the Council, the Committee on Library, Information, & Instructional Resources (CLIIR) and the Committee on Research Policy and Procedures (CRPP), met separately throughout the year, and occasionally met jointly. In total CRPP and CLIIR met eighteen times over the academic year. The Committee on Faculty Grants meets independent of the two other standing committees as its purpose relates only to the grant program administered by the Academic Senate, and the work is done over spring quarter.

CRIR activities over 2012-2013 are summarized below.
Proposed UC Policy on Open Access
One of the most significant issues that CRIR worked on was the proposed UC Policy on Open Access, which had been under discussion across the UC system for two years. CRIR endorsed the proposed Open Access Policy overall, and supported the principles behind open access for research. At its July 24, 2013 meeting the systemwide Academic Council voted to adopt the Open Access Policy and to recommend that the UC President issue a the policy for all faculty and researchers.

While all members were in favor of open access and are eager to see the policy go forward, CRIR emphasized in its written review of the policy that it is important to undertake an open access policy with an understanding of its relationship to the newly introduced Federal Research Public Access Act (FRPAA), which would require the major federal research funding agencies to establish public access research repositories, and its relationship to the Public Access Policy of NIH. At the direction of White House Office of Science and Technology (OSTP), plans are being developed by all federal agencies (with annual R&D budgets of more than $100 million) for digital repositories for federally funded research articles and data. Currently, three options for archiving and making the articles public are being discussed by agencies and by the Association of American Universities (AAU), the Association of Public Land Grant Universities (APLU), and the Association of Research Libraries (ARL). Once one of these proposals is adopted by Federal research funding agencies, the repository system that is implemented will ultimately require that UC’s open access policy terms not conflict with the Federal system.

As this open access program evolves, other discussions will soon need to take place within UC around adapting to changes in the scholarly publishing culture; for example, merit and promotion outcomes of scholarly publishing will likely need to consider the impacts of resistance that faculty will encounter from publishers due to the policy, particularly junior faculty. UC also needs to be paying attention to the escalating costs that some journals are charging to allow individual articles to be included in open-access archives.

Open-access archives are already used extensively by the sciences, engineering and math. Faculty in these fields who are accustomed to using open access repositories will to a great degree understand the open access process, but the UC needs to make sure that all disciplines are included in the discussions around how this will be implemented, what can be expected from publishers, and what options faculty have. Faculty in the humanities and social sciences in particular will need to be supported in the process, and impacts to their publishing options need to be considered.

An important process for the UC to undertake soon is to begin to work on other areas that will need to change in response to the implementation of open access in the UC. Within the sciences, some of the newer faculty are no longer reviewing for journals that do not participate in open access or are not open access friendly. This trend will likely have an influence on how to rank publications in the merit process. Consequently, one area that needs to come up to speed rather soon is the merit and promotion system, in terms of the peer review system associated with open access publishing vs. traditional publishing.
Proposed Pilot for a Negotiated Salary Plan
CRIR reviewed a proposal that originated out of the UCSF medical school for a Pilot Study of the Negotiated Salary Program. This “Pilot Program” was a later version of a widely opposed proposal for an addition to the Academic Personnel Manual (APM), referred to as “APM 668 – Negotiated Salary Program” which CRIR had significant concerns about and unanimously opposed, along with most reviewing Senate committees across the UC. The idea of negotiated salary programs originated from UC medical schools and is based on the medical school business model. CRIR advised that an entrepreneurial model of professorship would undermine the established model of education and create significant ethical problems that are currently prohibited by the limits on faculty contracting and consultation. In CRIR’s view the proposed pilot program blurs the line between outside consulting activity by faculty and UC research, and is a way to circumvent consulting policies and make use of UC resources that would otherwise not be available for consulting. Under the proposed structure, the deans and chairs are under no obligation to assess the requests in relation to teaching, research and faculty workloads. There is no evidence that a program such as this will reduce UC reliance on or need for state funds.

Many concerns from across the UC were raised in response to the initial proposal and these concerns were not addressed in the subsequent proposal, which was proposed as a “pilot project” but which did not resemble a research project. There was no justification for a pilot in terms of what would be assessed, no methodology was discussed, and none of the key details that are needed for a pilot project were specified. In spite of the overwhelming negative response from the various divisions, the pilot project was initiated by the proposers.

This issue should be monitored by future CRIR members.

Proposed Academic Personnel Manual Revisions
CRIR discussed several systemwide Academic Personnel Manual (APM) draft policies, which were endorsed: draft revised APM 241 - Faculty Administrators (Positions Less Than 100%); draft revised APM 430 - Visiting Scholars and Other Visitors; and draft revisions to APM Section IV, Salary Administration (APM 600 Series). The final revision of APM 015 - Faculty Code of Conduct language relating to protections of academic freedom was also circulated to CRIR members for comment.

UCORP topic of UC Observatories
The UC Observatories were a significant topic of discussion at the systemwide UC Committee on Research Policy (UCORP) meetings. The UC Observatories are the largest line item in the UC Office of Research and Graduate Studies’ budget, and their significance is felt across the entire UC system. The observatories and astronomy program have an important presence at eight of the UC campuses. The leveraged share of these facilities has been enormous on the UCSB campus alone, and for UCSB astronomy faculty, Keck and the TMT are the reasons that they are on this campus. The Keck Observatory is highly regarded among the international astronomy community, and competes with Japan and Europe in terms of research advantages. Construction on the Thirty Meter Telescope begins in 2014.

Considering the extent to which the UCO impacts faculty on this campus, CRIR made the recommendation for UCO during CRIR’s 2011-12 review of the Review Report on the UC Observatories that the management of the observatories be more representative of these campuses’ faculty, rather than being more narrowly controlled by only one campus. CRPP members received updates on the UC Observatories and the issue of its organizational structure from participating UCSB faculty. The UCO is not an MRU but for the past several
years UCOP has been operating it as an MRU. Unlike MRUs, the UCO has a 50 year life cycle, which is one reason that it does not make sense to operate it as an MRU and require it to continually compete for UCOP funding.

A UC Astronomy Task Force set up to advise UCOP on the UCO issued a report with recommendations regarding the UCO, including the recommendation to make the Thirty Meter Telescope a priority. The report also recommended changes in the structure of the UCO. In response UCOP created a board to oversee the UCO, and a number of changes have been made in its administration. The board recommended strategic planning and in response a committee was formed for that purpose. The planning and implementation process was not progressing as well as planned and a group of 60 faculty sent a letter to UCOP to express concern about the new process. CRPP members were concerned about the UCO and the possibility that the current situation could impact the operation of UCO and the UC TMT opportunity.

CRPP will continue to follow the evolving UCO situation. Several CRPP members met with Senate Chair Bhavnani to provide the background that could be needed by her for discussions among systemwide committee meetings.

Review of Report on “Rebenching”
The “Rebenching” Report was evaluated by members, who viewed the results of the rebenching process as a very positive situation for the UCSB campus.

Review of Campus Issues
UCSB Library Budget and Resources

CLIIR meetings were routinely attended by the committee librarian members to maintain active communications between the council and the Library on all matters that may impact or fall under the Library’s purview. University Librarian Denise Stephens and Library Representative Chuck Huber gave frequent updates on the Library budget, staffing, building plans, collections and journal pricing.

Library Issues Addressed
Library faculty carrels had to be vacated to accommodate the construction and seismic retrofit projects in the Library tower. This topic was discussed with CLIIR over several meetings and members opined that they are sympathetic but in agreement that the carrel space is needed to accomplish the Library projects. All UC Libraries have run out of space and have maximized space usage and the UCSB Library is no exception. UC Librarian Denise Stephens will continue to explored other options and will arrange for storage lockers for faculty use. In addition, there will be faculty collaboration space in the Library that can be used by faculty for their individual and collaborative research efforts.

The Library is on par to go over 2 million Library visits this year. To assist with Library planning efforts, the Library sent out a StanQual survey to evaluate Library service, and relative importance of various services offered by the Library. This tool included various collection resources.
Proposals for New Programs and Degrees

New program and degree proposals often overlook the costs imposed on library resources, including additional collection and journal expenditures. Historically proposals for new academic programs have almost without exception expected the Library to function with “unfunded mandates”, resulting either in insufficient resources for new programs or loss of resources from existing programs. As a result proposals for new programs and degrees are required to specify the Library resources needed for implementation, and indicate the funding source for the additional resources. Prior to submitting a proposal, new program and degree guidelines recommend that the initiators consult with the Library to determine what new resources are needed, and what the costs will be for startup and on-going sustainability.

CRIR’s review of proposals for new programs or degrees also includes an evaluation of additional instructional support services as part of the cost projections.

Technology Management Program (TMP) - Proposal for Graduate Degree Program and Academic Unit
The Council reviewed two proposals from TMP and the College of Engineering: one to establish a new Professional Masters of Technology Management (MTM) degree program, and the other to establish a new academic unit to administer the degree. Council members supported the proposals and recommended that the proposal should go forward for final review and approval.

Proposal for a Program of Graduate Studies in Global Studies for the Ph.D. Degree
CRIR reviewed the proposal for a PhD in Global Studies endorsed the proposal. CRIR recommended that a plan be put in place at the level of the EVC for evaluating the program in three years to ensure that there are enough resources.

Student-Initiated Democratic Education (SIDE) Program Proposal
CRIR reviewed the Student-Initiated Democratic Education (SIDE) Program Proposal and several points in the program proposal resonated with CRIR members: giving students teaching experience; providing students with a proactive opportunity to expand their learning experiences; creating a generally enriching experience for students. However, members found that the proposal overlooked important considerations and therefore they had reservations about supporting the proposal in its state.

UCSB Instructional Development
CLIIR received a number of reports over the year on campus instructional development budgets and the availability of staff and resources in that area from CLIIR consultant George Michaels of Instructional Development.

The Online ESCI system
A proposed plan regarding the intended implementation of an on-line ESCI score system was reviewed by CRIR in 2010-11 and recommendations were made at that time for the process. Both ladder faculty and lecturers are involved in the development of this project and continued to participate in the task force over 2012-13. The task force, along with Senate committees, will participate in review of the pilot study results. Senate committees expect to have ample time to review the results of the pilot study before any further implementation is undertaken.
The Online ESCI committee is made up of three areas: Academic Personnel, Implementation and Design, and the Content Subcommittee. CLIIR discussed the importance of the ESCI evaluations meeting the needs of faculty in all disciplines. For example, for Writing Program faculty it is almost the entire basis for merit and promotion. Currently on the Writing Program ESCI forms there are two questions, but the narrative is the most critical piece of the ESCI evaluation. CRIR members should continue to follow this aspect of project in particular in 2013-14.

CRIR made a number of other recommendations for the project that should be re-visited by the 2013-14 CRIR members, when the ESCI project is expected to be further along: it should be well publicized that faculty have control over the questions that are used; faculty bio bibs will need to reflect ESCI scores prior to the implementation of the online system, and ESCI scores after the implementation. The variances in the two scores due to the change in the system must be clearly understood within the Academic Personnel process.

**Review of Draft WASC Documents**
CRIR had many favorable comments on the draft WASC EER prepared by the campus WASC Committee, and offered a number of suggestions or recommendations.

**Proposal for a Center for Nanomedicine**
CRIR members reviewed proposal Center for within the Department and endorsed the proposal without further comment.

**Review of Proposal for a Center for Gaming Within ISBER**
CRIR members enthusiastically endorsed the establishment of the Center within ISBER.

**Other CRIR Business**
CRIR also discussed routine matters, including: Updates from campus UCOLASC representative T. Bergstrom on the meetings of the Systemwide Committee on Library and Scholarly Communication (UCOLASC), updates from Chair Monahan on the meetings of the UCSB Academic Senate Executive Council, regular updates from Vice Chancellor for Research M. Witherell on current research topics, and reports on the business conducted at the meetings of the systemwide University Committee on Research Policy (UCORP) were regularly given at CRPP meetings by UCSB representative S. Chandrasekaran. Reports on business conducted by the University Committee on Computing and Communications (UCCC) were given by UCSB representative S. Jammalamadaka.

**Pending Issues for CRIR in 2013-2014**

- Consultation regarding the impacts of campus budget reductions on the Library and instructional resources; support of UC Librarian in establishing a long range plan.
- Review of the status of online the ESCI project, and evaluation of the pilot study progress and results.
- CRIR recommendations on the campus implementation of the Open Access Policy, and collaboration with the Library on open access
- Continued discussion by the Faculty Grants Committee of the grant policy on subvention funding, and the options for addressing this need.
• Evaluation of the process and policies under which faculty to contract with independent contractors for low risk activities, including requirements for subcontractor professional liability insurance, and business services support for these activities. This should involve a meeting with Business Services and the campus risk manager.

**Committee on Faculty Grants**

**Summary of Faculty Research Grants Awarded Spring 2013**
Research grants awarded in June 2013 totaled $401,202. The amounts awarded are summarized by division below.

<table>
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<tr>
<th>Senate Faculty Grants Awarded By Division</th>
<th>Amount Requested</th>
<th>Amount Awarded</th>
<th>Number of Proposals</th>
<th>Number Awarded</th>
<th>Average Request</th>
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<td>Education</td>
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<td>10</td>
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<td>TOTAL</td>
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<td>76</td>
<td>70</td>
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Respectfully submitted,

Members, 2012-13

Laurie Monahan, Council Chair History of Art and Architecture
Timothy Sherwood, Council Vice Chair Computer Science
Ted Bergstrom, UCOLASC Rep Economics
Shivkumar Chandrasekaran, UCORP Representative Electrical and Computer Engineering
Moses Chikowero, History
Raisa Feldman, Statistics and Applied Probability
Gary Haddow, GSA Representative
Chuck Huber, Library Representative
Sreenivasa Jammalamadaka, UCCC Rep Statistics and Applied Probability
Shane Jimerson, Counseling, Clinical, and School Psychology
Karen Lunsford, Writing Program
George Michaels, CRIR Consultant Instructional Development
Dorothy Pak, Academic Representative Earth Sciences
Omar Saleh, Materials
Denise Stephens, ex-officio University Librarian
Karen Szumlinski, Psychological and Brain Sciences
Amber VanDerwarker, Anthropology
Libe Washburn, Geography
Mike Witherell, Ex Officio member VC Research, Physics
Ben Zhao, Computer Science

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