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.

Council and Committee Meetings

CRIR consists of two standing committees: Committee on Research Policy and Procedure (CRPP) and Committee on Library, Information, and Instructional Resources (CLIIR). CRPP met nine times and CLIIR met eight times during the 2016-2017 academic year, and the Chairs communicated any issues of mutual concern as needed. The Committee on Faculty Grants (CFG) met independently of CRPP and CLIIR as the committee’s function is to review and make decisions on faculty research grant proposals. As a result, CFG met three times during the spring quarter; one meeting was for orientation and the other two meetings were for grant decision discussions.

System-Wide Issues and Reviews

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

- **Proposed Revised Presidential Policy Business and Finance Bulletin (BFB) – G-28, Travel Regulations**
- **Proposed Revised Presidential Policy on Nondiscrimination and Affirmative Action Regarding Academic and Staff Employment and APM – 015**
- **Proposed Revisions to APM 015 and APM 016, and Conforming Amendments to Senate Bylaw 336**
- **Draft Presidential Policy on International Activities**
- **Proposed Revised APM Sections – 285, 210-3, 133-0-B, 740**

CRPP reviewed the revisions and outlined multiple reasons why they strongly opposed the proposed revisions. The committee noted that it was unclear what problems the proposed revisions was attempting to solve, and without a clearly defined problem it was difficult for them to provide informed comments. Despite this lack of clarity, CRPP proceeded to review the document from the perspective that the problems being addressed might be that LSOEs felt that they were disadvantaged in securing research funds because of their title or that departments felt they were disadvantaged in hiring LSOEs without a better title.
If the policy was attempting to address the two issues listed above, CRPP noted that such a dramatic change in the LSOE series would be unwise and unwarranted. The use of LSOEs varies a great deal by departments and the professional goals and interests of LSOEs varies widely as well. CRPP felt that to impose uniform guidelines on a complex and local situation would likely create problems where none existed previously. In addition, the committee was wary of the heavy focus on the idea of “innovation” in education. CRPP maintained that excellence in teaching is best determined at the department level, and that it is quite possible to be an excellent teacher without necessarily being “innovative” in the sense implied in the proposal.

CRPP was also very concerned about the potential threat this proposal posed to the research mission of the university. If LSOEs were to be renamed “Teaching Professors” then the UC would appear to gain a large number of “Professors” overnight, which would create the artificial appearance of improved teacher-to-student ratios. CRPP noted that there would almost certainly be a push to hire more “Teaching Professors” over ladder faculty because they could be hired at lower salaries, and would, by definition, teach a much larger number of undergraduate courses. CRPP stressed that as a research university, we must assure that our graduate training and research mission is not compromised. Ladder faculty with strong research objectives are critical to that mission.

Given the potential for real harm to the system and lack of a clear problem, CRPP recommended exploring alternative solutions. One suggestion was that if departments want to hire LSOEs who wish to do research then they could hire them partially as LSOEs and partially as “Professional Researcher.” Another suggestion was that in lieu of using the LPSOE title in advertising jobs for lecturers, departments could use the title “Tenure Track Lecturer,” which makes the intent clearer.

CRPP adamantly opposed the proposed revisions to the LSOE series.

- Proposed Policy on Export Controls

CRPP took a careful look at the proposed Presidential Policy on Export Controls. The policy aims to establish uniform guidelines on how each campus must organize locally to ensure compliance with federal regulations on ITAR and other export control laws. The committee found it difficult to make specific comments because it was unclear what problems the proposal was trying to solve and whether any campuses were out of compliance. The committee agreed with the overall recommendations in the proposed policy. However, they noted that UCSB is already handling this problem as the Vice Chancellor for Research was conducting a small pilot program on Export Controls with the Electrical and Computer Engineering Department the previous year. As such, the committee hoped that this policy was drawn after consultation with local campuses that have already implemented specific policies. CRPP also noted that the proposal mentions that there will be one further document on "Openness in Research". Since this is critical to how the Fundamental Research Exclusion (FRE) clause is applied, CRPP felt that it would have been more appropriate to review both documents at the same time. Finally, the committee noted that UCOP might better serve the campuses by dealing with these types of issues when there is a clear lack of knowledge among the faculty (and this is likely common across many campuses).

- Draft Presidential Unmanned Aircraft System (UAS) Policy
CRPP reviewed the proposed policy on unmanned aircraft systems as it affects many researchers at UCSB. From an overall policy perspective, the committee did not find any serious flaws in the documents. However, as far as CRPP was able to determine, UCSB researchers already follow federal regulations, and all applicable UC guidelines, and there has been no untoward incident reported so far. Therefore, CRPP questioned the basis for this bureaucratic over-reach.

In order to get a more informed view of the document, CRPP obtained the opinions of three faculty members and one graduate student who had been in charge of getting all relevant clearances. The one major complaint that stood out in all of the responses was that this policy created an extra bureaucratic burden imposed by UC by creating restrictions that unnecessarily exceeded the federally mandated requirements.

As UAVs become an important part of the research efforts of many faculty at UCSB, CRPP argued that it is absolutely essential that UC should not create any additional bureaucratic barriers above and beyond those already mandated by federal regulations. Furthermore, it was not clear from the document whether existing federal guidelines already "minimize risk." CRPP strongly recommended that any UAV policy document must address three fundamental concerns:

1. Analyze federal regulations to see if they already satisfy our desired level of risk tolerance. [If they do, then UC policy should merely implement those regulations.]

2. If federal guidelines allow some flexibility in the approval process, ensure that this flexibility is passed down to the local authority and onto the campus researchers. [That seems not to be the case presently.]

3. In case federal guidelines are found to be weak in some specific cases, enunciate this clearly to stakeholders and form a reasonable policy that balances risk and flexibility. [There is no such distinction or reasoning in this document.]

CRPP noted that the complete absence of any type of summary of the existing federal guidelines in this document significantly complicates the review process, and that without this information a proper review of the proposed policy was impractical. The committee echoed faculty responses in recommending that the best way that UC can help them deal with the bureaucracy already imposed by federal regulations is to maintain a website that brings together all relevant federal regulations in a timely manner. Finally, CRPP also noted that UAVs bring additional privacy concerns into play. The committee noted that there was already a separate working group concerned with video surveillance, and they hope that privacy concerns induced by UAVs would be analyzed there.

Local Issues

- **Music Building Seismic Renovation and New Instructional Space**

CLIIR members were enthusiastic about the prospects for seismic renovation of the North wing of the Music building and the potential of new general assignment classrooms in additional floors of the new building. The committee found the addition of new general assignment classrooms created with interactive space designs to be especially exciting as it addresses
concerns that CLIIR has been expressing for the past several years regarding a critical need for more general assignment classroom that would seat 75-100 students. The committee noted that the demand for large general assignment classrooms has increased dramatically over the past 20 years, while the availability of such classrooms has decreased during that time. With innovations in technology and pedagogical practices, new up-to-date classrooms are essential for UCSB to be able to continue to fulfill its instructional mission. CLIIR also nominated Professor John Du Bois to represent CLIIR on the Building Advisory Committee. Finally, they also expressed the hope that CLIIR’s consultant on instructional support, Dr. George Michaels (Executive Director, Instructional Development), would be invited to serve on any planning or advisory committees created to support this project.

- **College of Creative Studies Proposal to Establish a BA Degree in Marine Science**

CLIIR reviewed the proposal and supported the establishment of an undergraduate degree in Marine Science; however, the committee was unclear why the degree would be Bachelor of Arts rather than Bachelor of Science. CLIIR noted that given the low projected enrollment for the major, there should be no significant impacts on classroom space and that a subject librarian is already available on campus.

- **Proposal to Establish a BS Degree in Bioengineering and an Associated Administrative Program**

Both CLIIR and CRPP reviewed the proposal. Overall, both committees were very supportive of the efforts to develop a Bachelor of Science degree in Bioengineering; however, they were concerned about the limitations of campus resources to support the program. Campus impacts would expand beyond the College of Engineering, and the committees recommended that the campus address the needs for additional instructional resources in order to successfully deploy and sustain the new program. The main concerns CRIR expressed about the impact on campus resources are listed below.

1) How would a new Bioengineering program affect the number of undergraduates admitted into the College of Engineering?

2) There is a larger campus concern regarding heavily impacted undergraduate courses in Math, Biology, Physics, and MCDB. Student enrollment in Bioengineering would further impact these courses. Would there be increased support from the Administration to remedy this issue?

3) The proposed Bioengineering program is designed to be distinct from a biomedical program; nevertheless, it raised concerns about job placements for students.

4) There is concern that with current enrollment pressures and growing needs, a new Bioengineering program would have a ripple effect on Instructional Development’s ability to effectively support the instructional mission of the campus.

5) While the library has a strong collection of biology and engineering materials to support current programs, there is a potential gap in the collection in the area of clinical medicine. In addition, there is not currently a subject librarian with the capacities to take on the responsibility of supporting a bioengineering program.
• **Data Curation and Data Storage**

CLIIR looked into the challenges of research data storage and curation, which is an ongoing problem for faculty on campus. The issues are further complicated because the storage and curation are must be managed in tandem. While there are multiple options for storage (e.g., cloud-based storage of various types), these options prove to be inadequate because the data must also be retrievable in the future. The rapidly changing formats for data storage and systems creates a serious challenge for retrieval and archiving of data. The library reported that faculty frequently request assistance with data storage, but the library is not equipped to handle this issue. Data storage and curation is a carry-over issue for CLIIR. The committee agreed that CRIR should meet as a group in the fall and invite Matt Hall (Associate Vice Chancellor for Information Technology and Chief Information Officer) and Joseph Incandela (Vice Chancellor for Research) to discuss the issue.

• **Funding for Faculty Travel Grants**

CRPP discussed concerns over the limited budget of the Faculty Travel Grants (FTG). Funding for the grants needs to increase as the current rate is unsustainable and does not meet the demands for funds. The committee drafted a memo concerning this issue, which was submitted to Senate Chair Bohn. In the memo they noted that conference presentations are critical for faculty’s academic careers both for networking purposes and raising their research profiles. CRPP also noted that faculty in the Division of Humanities and Fine Arts, as well as junior faculty, are especially hard-hit due to the lack of funding available and potentially lower salaries. Given the growing popularity of the FTG, and the increasing reliance on these funds by junior faculty and faculty in the Division of Humanities and Fine Arts, CRPP requested an increased budget for 2017-2018 and subsequent years.

Library Updates

• **Library Budget and Acquisitions**

The library’s budget is a continual problem that the campus will need to address. The library is almost entirely reliant on a university block grant for its budget. This funding source is inadequate, and the library has been engaged in conversations over the past year with the EVC’s and Chancellor’s Office about rethinking how the library is funded considering that it is a core resource for the campus. The library has been able to create a budget buffer over the last few years and has benefited from additional funding during that time; however, the 2017-2018 year will be the last year those funds are available. Thus, things will come to a head in 2018-2019 unless the campus reframes the funding structure for library acquisitions. The library has been making cuts for years to meet their budget constraints. The only thing left to cut are core resources. The area that is at highest risk is acquisitions: books, journals, and data-bases. There is no easy or cheap solution, and the new University Librarian will have to address the problem.

• **Music Library**
There are currently plans to move the Music Library into the space previously occupied by Special Collections in the main library. The move is occurring as a result of the seismic retrofitting of the Music building. The campus will hear more about the move once fund-raising begins. The move is expected to occur once funds are available, and will not wait for the retrofitting to begin.

Instructional Development Updates

- **Classrooms and Facilities**

  Working with the Disabled Students Program (DSP), Instructional Development secured a $52,544 grant to replace existing assisted listening devices and expand their availability to rooms that should have these devices according to ADA regulations. Additional rooms will be brought up-to-date during 2017-2018.

  The Classroom Management Committee decided to upgrade a number of lecture halls with new lecture equipment (Gen 5 Lecterns). Upgrades are completed for most of the designated classrooms. Three additional classrooms will be upgraded over the summer and will be ready for fall quarter. The new bio-engineering building classrooms will be built over the summer and into the fall quarter. They will have Gen 5 Lecterns and will be general assignment rooms.

  Facilities has also completed a number of updates over the past year, mainly related to air conditioning and lighting. Air conditioning was replaced in Campbell Hall and newly installed in IV Theaters 1 and 2. The lighting control system for Embarcadero Hall has been put on the maintenance list for 2017-2018 and new LED lighting fixtures for hall lighting in Campbell Hall will likely occur in August 2017.

Faculty Grants Committee

- **Faculty Research Grants Policy and Procedures Updates**

  In the 2015-2016 application cycle the Senate began using an online application system for Faculty Research Grants (FRG) and Pearl Chase Research Grants (PCRG). The system was created by Senate IT, and was used during the 2016-2017 application period as well. The system worked well and helps to simplify the multifaceted process of application, review, and award.

  CRPP addressed several grant policy issues including how to fund applications from junior faculty who may have start-up funds, as the availability of these funds varies widely between disciplines. The committee also discussed how to evaluate and fund proposals for arts and performance-based projects. They consulted with Lisa Jevbratt, Professor, Art Studio, who provided a list of questions for reviewers to consider when evaluating proposals. Some committee members were wary of having a separate set of questions for one area of research proposals; however, ultimately, CRPP decided to include the questions as a supplemental resource for reviewers who evaluate art and performance-based proposals. Finally, CRPP discussed grant extension request protocol for first and second extensions. The committee agreed that requests for second extensions would be approved only under extenuating circumstances.
• **Summary of Grant Applications and Awards**

Faculty Research Grant and Pearl Chase Research Grant maximum funding limit was set at $20,000, maintaining the same limit used during the 2014-2015 and 2015-2016 cycles. The Senate FRG budget allocation for the 2016-2017 cycle was $860,000 and the PCRG budget allocation was $40,000. During this cycle 133 completed applications were submitted and reviewed for the Faculty Research Grants. 110 of the proposals were fully or partially funded. Additional details on the funding amounts and rates are available in the table below.

Three applications were submitted and reviewed for Pearl Chase Research Grants during the 2016-2017 review cycle. All three Pearl Chase Grant proposals were fully funded, with a total of $29,127 awarded.

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

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<tr>
<th>Division</th>
<th>Amount Requested</th>
<th>Amount Approved</th>
<th>Funding Rate</th>
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<tr>
<td>ENGR</td>
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<td>GGSE</td>
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<td>HUFA</td>
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<td><strong>$1,592,050.67</strong></td>
<td><strong>$859,992.00</strong></td>
<td><strong>58.00%</strong></td>
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**Carry-Over Issues**

- **Data Storage and Curation**
  Data storage and curation is an ongoing issue for CRIR and they will continue to discuss this issue and consult with relevant campus administrators, faculty, and staff as needed.

- **Faculty Research Grant Policy**
  There is a strong desire to clarify and update the existing grant policy. A few of the areas that will be reviewed include start-up funds disclosure and availability, student researchers and how they should be funded, and grant term length and extensions.

- **Faculty Grant Review Criteria**
  Best practices in reviewing Faculty Research Grants and Pearl Chase Research Grants is an ongoing discussion that will continue during the 2017-2018 academic year.

**Membership**

- **Council on Research and Instructional Resources (CRIR)**
Shivkumar Chandrasekaran, Chair of CRIR, CRPP, and Co-Chair of FG Committee
Werner Kuhn, Vice Chair of CRIR, Chair of CLIIR, and Co-Chair of FG Committee
Hilary J. Bernstein
Gary B. Charness
John W. Du Bois
Glenn H. Fredrickson
Shelly J. Lundberg
Joseph P. McFadden
David R. Morrison
Mary A. Raven, Professional Researcher
Miriam Wattles
Rene Weber
Liming Zhang
Wolf D. Kittler, UCOLASC Representative
Todd H. Oakley, UCACC Representative
Jianwen Su, UCORP Representative
Sherri L. Barnes, Non-Senate Academic Representative
Magda Campo, Non-Senate Academic Representative
Joseph R. Incandela, Ex Officio
Denise Stephens, Ex Officio
George H. Michaels, Consultant

- **Committee on Faculty Grants (CFG)**

  Shivkumar Chandrasekaran, Co-Chair
  Werner Kuhn, Co-Chair
  Hilary J. Bernstein
  Michael T. Bowers
  Jennifer L. Gibbs
  Danielle B. Harlow
  Scott A. Hodges
  Aida Hurtado
  Maryam Kia-Keating
  David R. Morrison
  Alice M. O’Connor
  Simone Pulver
  Susannah L. Scott
  Sven Spieker
  Todd M. Squires
  Karen K. Szumlinski
  Miriam Wattles
  Guofang Wei