

COMMITTEE ON RESEARCH (COR)**Wednesday, September 11, 2013****10:00 – 11:30 am****KL 324****[UCMCROPS/COR1314/Resources](#) and [UCMCROPS/LibraryW.Group1314/Resources](#)**

I. Chair's Report – *Vice Chair Roummel Marcia is chairing the meeting in Professor Mostern's absence.*

II. Consent Calendar

A. Approval of the agenda.

B. Approval of the August 28 minutes. Draft minutes available at

[UCMCROPS/COR1314/Resources/Minutes](#)

III. Course Buyout Policy

Background. A draft policy was developed by the Provost and School Deans in 2012. The Provost and Deans are seeking approval of the policy for five years after which a re-evaluation of the policy will occur. Policy is available at

[UCMCROPS/COR1314/Resources/Review Items - Campus](#)

Action Requested: Discuss draft policy. If COR chooses to opine, committee analyst will draft a memo with the compilation of comments and transmit to Senate Chair López-Calvo at senatechair@ucmerced.edu. Deadline for comments is Monday, September 23.

IV. Lab Safety Issues

Background. At the 8/28 meeting, COR agreed that lab safety issues should be under the committee's purview.

Action requested: Identify a COR member to take the lead on this issue during the AY 2013-2014 and provide the committee with any updates throughout the year.

V. ORU Policy

Background. At the 8/28 meeting, COR agreed that one of its AY 2013-2014 goals is to review UCM's ORU policy as well as the ORU policies of other UC campuses with the intention of deciding whether UCM's policy should be revised. All policies are available at [UCMCROPS/COR1314/Resources/Policies/ORU_CRU](#)

Action requested: Identify a COR member to take the lead on reviewing the ORU policies of UCM and other UC campuses throughout the AY 2013-2014 to determine if UCM's policy should be revised.

VI. Faculty travel/research/shared equipment grants

Background. At the 8/28 meeting, COR agreed that one of its AY 2013-2014 goals is to review UCM's call for faculty research/travel/shared equipment grants as well as the calls for similar grants at UC campuses with the intention of deciding whether COR should revise the eligibility for these grants. All calls are available at [UCMCROPS/COR1314/Faculty Research/Travel/Shared Equipment grants](#)

Action requested: Identify a COR member to take the lead on reviewing the UCM Senate's call for proposals as well as those from other UC campuses to determine if UCM's call should be revised. COR will issue the call for proposals in April 2014.

VII. Indirect Cost Recovery

Background. At the 8/28 meeting, COR agreed that the issue of indirect cost recovery be added as an ongoing issue/goal for the committee in AY 2013-2014. VCR Traina related that the campus is undergoing another change in its rate calculation. Traina informed COR that UC Berkeley drafted a white paper on its sponsored research distribution model and that he drafted a report to SACAP on UCM's research support policy. Both documents are available at [UCMCROPS/COR1314/Resources/Reports and Proposals/From VCR](#)

Action requested: Identify a COR member to take the lead on indirect cost recovery during the AY 2013-2014 and compare UCM's distribution model to that of other UC campuses.

VIII. Physics CCGA proposal

COR members to discuss the Physics CCGA proposal. The proposal is available at [UCMCROPS/COR1314/Resources/Review Items - Campus](https://ucmcrops.ucmerced.edu/COR1314/Resources/Review_Items_-_Campus)

Action requested: COR will draft a memo of its comments and submit to the Senate Chair at senatechair@ucmerced.edu by Friday, September 20.

IX. Open Access Policy - Discussion only

Background. At the 8/28 meeting, COR discussed the open access policy that was adopted by the UC on July 24, 2013. Interim Head Librarian Donald Barclay will attend the 9/25 COR meeting to present the UCM library's implementation plan. A COR member requested that the Open Access Policy remain on the agenda for further discussion at the 9/11 meeting. Open Access Policy FAQ can be viewed [here](#).

X. Other Business

Committee on Research (COR)
Minutes of Meeting
August 28, 2013

Pursuant to call, the Committee on Research met at 10:00 am on August 28, 2013 in Room 324 of the Kolligian Library, Chair Ruth Mostern presiding.

I. Chair's Report

Chair Mostern welcomed the members of the newly-created Committee on Research (COR) to its inaugural meeting. She provided an overview of the inception of COR and explained the rationale behind the splitting of Graduate and Research Council (GRC) into two committees: Graduate Council (GC) and COR.

II. COR Goals for AY 13-14

--ORUs/CRUs/Centers. As is standard on other campuses, it is important to have a process by which ORUs, CRUs, and Centers are approved, implemented, funded, and have guidelines for periodic review. VCR Traina pointed out that it is a two-step process: 1) examining applications and evaluating based on the contributions to the university's research mission and 2) feasibility of funding. After the Academic Senate completes this two-step process, the application must then go through the campus budget cycle. There are certain centers currently operating on campus that were not reviewed by the Senate as they applied directly to the Office of Research. The long-term goal for ensuring these policies are in place – in addition to the need for clarity on terminology – is to eventually release an RFP to all faculty who want to form research entities. COR members were reminded that in 2009, GRC did draft a policy on ORUs and CRUs that was intended for campus use.

ACTION: COR analyst will obtain from the GC analyst the 2009 GRC policy on ORUs and CRUs. COR analyst will research other UC campus policies on ORUs and CRUs and provide the information to COR members. This item will be added to the next meeting's agenda where a COR member will be identified to take the lead on this issue.

--Lab safety issues. In the last academic year, there were many critical issues surrounding chemistry labs and the need to be in compliance with state laws. While COR will operate in a reactive role, the committee still needs to be cognizant of the external regulations and state laws pertaining to lab and field research safety.

ACTION: Professor Hein was absent from this meeting but Chair Mostern will ask at the next meeting that he take the lead on this issue for COR as he is a chemistry faculty member and therefore aware of the issues.

--Faculty research/travel/shared equipment grants. This is a former GRC function that is now under the purview of COR. While the request for proposals is not sent out to Senate faculty until spring semester, COR should review the criteria and eligibility for the grants in advance. COR may decide to leave the criteria as is, or, make the grants only eligible for assistant professors, or for faculty nearing the depletion of their start-up packages, or, similar to UCLA, only for faculty in the Humanities.

ACTION: COR analyst will collect other UC campuses' proposals and provide them for the next meeting so COR members can compare with UCM's practices. Chair Mostern will later identify a COR member to take the lead on the issue.

--Relocation expenses for postdoctoral scholars. After a brief discussion and input from VCR Traina, it was decided that this issue is under the purview of the Academic Personnel Office (APO) and the Office of Research.

ACTION: COR analyst will contact APO and the Office of Research for relevant policies and guidelines and post on COR's CROPS site for informational purposes.

--Faculty support for international research issues. Many faculty who host international visitors in their labs and research programs need a point of contact on campus for assistance and clarity with visa issues specific to research visitors. UCM does not appear to have a streamlined process and it is important for the campus to be in compliance in addition to providing support for faculty members' research endeavors. VCR Traina related that Provost Peterson's Chief

of Staff is currently arranging a meeting on this issue and there may be a report generated at the conclusion of the meeting.

ACTION: COR analyst will contact the Provost's Chief of Staff to inquire about her meeting and whether there will be Senate representation. The COR analyst will also try to obtain any reports that are generated from the Provost's office on this issue.

--Head Librarian search. Interim Head Librarian Donald Barclay has been filling the role of Head Librarian since Bruce Miller's retirement in 2010. Faculty have various concerns about the library such as effective communication between faculty and the library and the library's capacity to support the campus's research mission. Chair Mostern mentioned that Provost Peterson is aware of the need to launch the Head Librarian search, but she also stated the importance of COR continually addressing the library's issues.

Chair Mostern then opened the discussion to COR members to add their own goals for AY 13-14.

A COR member suggested the goal of more effective support for faculty for grant writing. Over the past few years, there have been attempts at both the campus and School level to hire grant writing staff. VCR Traina announced that the Office of Research, led by Research Development Director Susan Carter, is redesigning the grant writing and submittal process. Also, Traina previously submitted a report to SACAP on the grants restructuring process.

ACTION: VCR Traina will send the COR analyst the plan he drafted to SACAP on the announcement and outline of a new model for the administration of extramurally funded grants at UCM and the analyst will distribute to COR members.

Another COR member requested the issue of indirect cost recovery be added as an ongoing issue/goal for the committee. VCR Traina related that the campus is undergoing another change in its rate calculation. The issue will reside in the Provost's office but the Provost is collaborating with Vice Provost for Planning and Budget Dan Feitelberg on developing a new model for distribution. There is a primer on the Office of Research's website that could provide some guidance

with the rate calculation. In addition, UC Berkeley drafted a white paper in 2005 on the model for sponsored research on that campus.

ACTION: COR analyst will research the rate calculation models on other campuses and invite Autumn Tjalsma Salazar (Director of Contract and Grant Accounting) and Sheryl Ireland (Director of Controls and Accountability) to a future COR meeting to discuss funding distribution. VCR Traina will send the UC Berkeley white paper to COR analyst who will distribute to the COR members.

COR members then held a lengthy discussion on distribution models and rate calculations at UCM compared to other campuses. VCR Traina summarized the old model that UCM used to follow: from the money that came to UCM from UCOP, one-third went into the general fund to operate the campus, one-third went into the restricted salary pool to pay the individuals who were doing accounting on grants, and approximately one-third went into the discretionary pot of money called the “opportunity funds”. Now, the campus has changed to a funding stream model. While UCM has the legal authority to do as it wishes with its indirect costs (reimbursements for expenses that the campus has already paid), the campus is restricted by the current budget reality.

ACTION: These goals will be kept on the agenda throughout the year. A COR member must be identified to take the lead on the issue of indirect cost recovery.

Chair Mostern also identified a few issues that might come to COR and the campus from the corresponding University Committee on Research Policy (UCORP): summer salary rates and the reduction of funding for certain UCOP research programs. A report from systemwide on the funding reduction will eventually be distributed to the campuses for comments.

VCR Traina announced that there is a research subcommittee on the campus physical planning committee that is attempting to identify academic space needs in 2020. SNS Professor Marilyn Fogel, a CAPRA member, is a co-chair of this subcommittee and has had conversations with VCR Traina on space implications. Traina and SoE Dean Dan Hirleman are also committee members. The subcommittee will make recommendations on which core research facilities the campus needs in 2020. Chair Mostern mentioned this issue was brought up

in the Division Council meeting yesterday and that there is a joint faculty administration 2020 committee. VCR Traina stated that the subcommittee's report is due at the end of September or early October and will be used as the basis for a future RFP for builders.

ACTION: VCR Traina will send the research subcommittee's report to COR members. COR analyst will invite Professor Fogel and Dean Hirleman to a future COR meeting.

III. Consent Calendar – approval of the agenda.

ACTION: Agenda was approved as presented.

IV. Physics proposal. In AY 12-13, the Physics graduate group submitted a proposal to establish a graduate program leading to M.S. and Ph.D. degrees. All Senate standing committees are asked to review and comment by Friday, September 20. While COR is not the lead reviewer, the committee should review the proposal to determine if it enhances the research mission of the campus, how it relates to the campus's current research profile, and, whether the research areas emphasized in the proposal have the potential for extramural support.

ACTION: COR member David Noelle will take the lead on reviewing the proposal and providing comments at the next COR meeting.

V. SACAP charge. The Senate-Administration Council on Assessment is undergoing a revision to its charge at the request of the Provost. Senate standing committees are asked to review and comment by Monday, September 30.

ACTION: COR members reviewed the charge prior to the meeting and have no comments. COR analyst will draft a memo on behalf of Chair Mostern and transmit to Senate Chair López-Calvo.

VI. Open Access Policy. The systemwide Senate adopted the policy in July 2013. UCM's library is now in the process of creating a mechanism for implementation. All campuses will be affected by the end of 2014. Interim

Head Librarian Donald Barclay previously offered to attend a COR meeting to present the library's proposed implementation plan.

ACTION: COR analyst will invite Interim Head Librarian Barclay to the September 25 COR meeting. COR analyst will send the Open Access Policy documents to COR members who had difficulties opening the documents on CROPS. At the request of a COR member, this item will remain on future agendas for further discussion.

- VII. Senate-Administration Library Working Group. Last year, some faculty were concerned by the communication challenges between the faculty and the library as well as the library's contribution to the campus's research mission. In addition, the library underwent period review in the spring semester 2013. The Library Working Group was formed last year to discuss these various issues; however, the group was not populated in a timely manner and only met once in spring 2013. Chair Mostern co-chaired last year's group with Interim Head Librarian Barclay and she confirmed that she and Barclay are committed to leading the committee this year and submitting a final report by early spring 2014. This report would also serve as a resource in the future Head Librarian search.

ACTION: Chair Mostern will draft a memo to Senate Chair López-Calvo requesting that the Committee on Committees identify faculty members, undergraduate, and graduate students to serve on the 2013-2014 Library Working Group. Chair Mostern will distribute the memo to COR members this week for comments and the COR analyst will transmit to the Senate Chair.

There being no further business, the meeting adjourned at 11:20 am.

Attest: Ruth Mostern, COR Chair

Minutes prepared by: Simrin Takhar, Senate Senior Analyst



OFFICE OF THE ACADEMIC SENATE
SUSAN AMUSSEN, CHAIR
[samussen@ucmerced.edu](mailto:samusen@ucmerced.edu)

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343
(209) 228-7954; fax (209) 228-7955

June 8, 2012

EVC/PROVOST KEITH ALLEY

RE: COURSE BUYOUT POLICY

Thank you for soliciting DivCo's comments on the draft policy for course buyouts. We assume this was at least in part a response to the proposal made by the SSHA faculty, which built on a GRC memo based on extensive research into the practices of other UC campuses on this topic. DivCo was pleased to see that a draft policy exists, but we have questions about its operation both from the perspective of faculty who seek to buy out a course, and from the perspective of undergraduate and graduate program leads.

From the faculty perspective, the policy appears to discourage, rather than encourage, faculty to obtain grants that buy out their teaching, at least compared to other UC campuses. We do not think this is wise for a fledgling campus trying to encourage extramural funding.

1. Price of the buyout: According to the research undertaken by the faculty, 17% is the highest amount charged in the UC system. For example, Riverside asks only for 10% of salary for a one course buyout, and 25% for two courses.
2. What happens to the money? At other campuses, the money is either given to the Department/Academic Unit, or split between the Department and the Dean. Unlike every other UC campus, the proposed policy gives all the money to the Deans, and none of the money to the unit. The policy should specify that some portion of the funds obtained through a course buyout should be used for teaching needs in the academic program, and that some portion be given to the academic unit as is done at all other UC campuses. On many campuses, those units can also use some portion of the funds to augment the faculty member's research funds. Some such flexibility gives faculty more incentive to include such funds in their grant proposals.
3. While we understand the general restriction to buying out no more than one course a year, the policy needs to contain an explicit proviso which allows flexibility when faculty members receive awards with particular requirements: for instance, Spencer Foundation grants, or NIH Career awards, would require a complete release from most

or all teaching obligations. This might be phrased as “Exceptions to this policy can be made, in consultation with the Dean and Program leads, for awards (such as NIH Career Awards) that require more release time than this.”

4. The policy provides no incentive to request AY funds in a grant proposal without taking a teaching reduction. On some campuses, at least some portion of such funds would come back to the faculty’s research funds as an incentive to bring more extramural funding to the university. The exclusion of this possibility is short-sighted, as both the campus and the faculty member can benefit from additional extramural funds.

From the Program perspective, we need to be sure that the deans consult not just with “chairs” (which usually means, in our context, Academic Unit chairs) but also the leads of graduate and undergraduate programs with which a person is affiliated.

1. If a faculty member is teaching a required course, or an elective course that impacts students' progress towards degree, there needs to be a provision ensuring that either the course is being taught by someone else, or that it is not necessary that semester, such that there is no negative impact on students.
2. Teaching requirements: The teaching requirements specified in the policy seem more appropriate to SSHA than to the other Schools, where faculty who have bought out one course will only teach one course that AY. In that case, it makes sense for the Dean and relevant program leads (graduate and undergraduate) to determine where a faculty member’s teaching is most important. The provision that the faculty member must teach an undergraduate course fails to recognize that a graduate program may be adversely impacted by a faculty not teaching a course, and graduate courses may be more difficult to cover than undergraduate ones. Particularly given our small size, it is possible that it will be more important that a faculty member teach a graduate course than an undergraduate one. This is an area where flexibility will be important.
3. The policy should note that particular Schools or academic units may have more restrictive policies than those specified in the campus policy.

Sincerely,



Susan Amussen
Chair

cc: Divisional Council
Senate Executive Director Susan Sims



Office of the Executive Vice Chancellor and Provost

UNIVERSITY OF CALIFORNIA, MERCED
POST OFFICE BOX 2039
MERCED, CALIFORNIA 95344
(209) 228-4439
FAX: (209) 228-4423

MEMORANDUM

To: Susan Amussen, Chair, Divisional Council

From: Keith Alley, EVC/Provost 

Subj.: UC Merced Course Buyout Policy

Date: May 25, 2012

Attached is a draft Course Buyout Policy that has recently been developed in conjunction with the Deans of all three Schools. We request that the Divisional Council review this policy and provide feedback to the EVC regarding the policy and any concerns regarding its implementation.

Thank you.

Cc: David Ojcius, VPAP
Nancy Ochsner, AVP
Mark Aldenderfer, SSHA
Juan Meza, SNS
Dan Hirleman, SOE
Susan Sims, Exec Director

Course Buyout Policy: External Buyouts from Extramural Funding	
	UC Merced Campuswide
Who is eligible?	Senate faculty with extramural grant-funding
Purpose	Allows faculty members to expand time available for research and other scholarly work
Maximum # courses	1 annually. Also restricted to no more than 3 courses over a 5 year period. Particular Schools or academic units may have more restrictive policies.
Cost	1/6th of 9-month salary + benefits per course (3-4-unit courses only)
Policy: In Residence & Service requirements	Buyout participants expected to remain in residence for the duration of the course buyout and must continue to be fully engaged in normal range of service commitments to department, campus, and profession.
Policy: Funding	Faculty member must have extramural funding to pay for external buyouts; Buyout funding reduction must occur in actual semester of buyout.
Policy: Sabbatical leave	Program may not be used in conjunction with sabbatical leave. Sabbatical leave credit continues to accrue.
Policy: Teaching requirements	In the buyout year, faculty member must teach at least one undergraduate course that significantly contributes to the major (e.g., required course), or general education and/or represents significant service (e.g., large survey courses).
Approval	Requires Chair's, Dean's, and EVC's approval
Exceptions	By request and must be justified and then approved by Chair, Dean, and EVC. The Deans and Chairs will also consult with the Program leads.
Use of salary savings from external course buyouts	100% of state-funded salary dollars released by the course buyout is retained by the School. The first call on the released funds will be replacement of unmet teaching needs.
Reporting	Deans must report annually to EVC on amount of dollars released and how the funds were used.