

COMMITTEE ON RESEARCH (COR)**Wednesday, October 15, 2014****3:00 – 4:30 pm****KL 324****[UCMCROPS/COR1415/Resources](#)****I. Chair's Report – *David Noelle***

- A. Updates from Division Council meeting on October 8
- B. Updates from UCORP meeting on October 13

II. Consent Calendar

Approval of October 1 meeting minutes.

Pg. 1-3

III. Preliminary ORU Proposal Review

Background: COR has been asked to review a proposal that was originally submitted to the Provost/EVC for the strategic academic focusing initiative. The group submitting the proposal is requesting a preliminary, informal review by COR with the goal of transforming the document into a formal ORU proposal.

Discussion: Should COR accept pre-ORU proposals and provide preliminary feedback?

IV. Limited Submission Proposals

Discussion: faculty request transparency in the selection of campus proposals for limited submission grant programs. This initial discussion will lead to a formal request for transparency in the process.

V. Systemwide Review Item

Proposed revisions to APM 133, 210, 220, and 760.

Pg. 4-22

Action requested: COR to review proposed revisions for implications for the campus research mission. Comments are due to the Senate Chair by November 21.

VI. Senate Faculty Grants Program**Pg. 23-30**

Discussion: Continued discussion on program goals. Previously-agreed goals are: supporting junior faculty, assisting research areas that rarely receive external funding, providing bridge funding for faculty, supporting projects that contain new directions of research, and supporting high-risk projects. Other considerations are: supporting interdisciplinary projects and encouraging junior and senior faculty grant collaborations.

Relevant background documents, including the previous awardees, proposals, and calls, as well as information from the other UC campuses, are posted at: *UCMCROPS/COR1415/Resources/Faculty research grants*

VII. Other Business**VIII. Informational Items**

- A. The November 5 COR meeting will include Director of Research Development Services Susan Carter, Director of Sponsored Projects Services Thea Vicari, and Director of Research Accounting Services Autumn Tjalsma to discuss the new grants management system.
- B. The December 3 COR meeting will include Vice Chancellor for Business & Administrative Services Michael Reese, AVC for Budget & Planning Donna Jones, and Controller Michael Riley, who will provide updates on the indirect cost return model and emergency funding for faculty.
- C. VCR Traina submitted a five year review notification letter to SNRI.

Committee on Research (COR)
Minutes of Meeting
October 1, 2014

Pursuant to call, the Committee on Research met at 3:00 pm on October 1, 2014 in Room 324 of the Kolligian Library, Chair David C. Noelle presiding.

I. Chair's Report

Chair Noelle updated COR members on the Provost/EVC's all-faculty forum on September 24 where he made the following announcements on the strategic academic focusing process:

--the Provost/EVC and the strategic academic focusing committee members have formulated five areas under which the submitted proposals will fall: Chemistry/Biology/Materials, Computation/Analysis/Big Data, Sustainability, Entrepreneurship and Management, and Research for Community and Social Benefits. The Provost/EVC indicated that FTE allocations would be given to these areas as well as the traditional research areas. While the titles of these five broad research areas will not be substantially changed, the Provost/EVC still welcomes input from faculty to refine these general areas and the process.

--the Provost/EVC stated that he would like the faculty to assist him in reexamining these five broad areas every few years and re-valuate the strengths of the campus. The allocating of FTE lines would still occur on a yearly basis. Some faculty in attendance at the forum feared that there is no institutional support for prioritizing FTE lines within the broad areas or across bylaw 55 units.

II. Consent Calendar

The September 17 meeting minutes were approved as presented.

III. Campus Review Items

--Economics PhD proposal. COR members continued their discussion from the last meeting and re-examined a committee member's revised review of the proposal. COR members were in favor of the proposal but added the following comments to the review: 1) potential collaborations with the Health Psychology program on campus should be highlighted since the

proposed program includes a Health Economics emphasis and 2) the feasibility of the proposed extensive coursework and substantial research expectations.

ACTION: These comments will be included in a memo that COR will transmit to the Senate chair by the deadline of Friday, October 3.

--Senate-IT Advisory Council draft charge. COR approved the draft charge with the comments that the faculty membership be changed to explicitly state representation from UGC, GC, COR, and CAPRA.

ACTION: COR will transmit its memo to the Senate chair by the deadline of Friday, October 3.

--Proposed split of the committee on Faculty Welfare, Diversity, and Academic Freedom. COR members approved the proposed split, stating that this division will increase efficiency.

ACTION: COR will transmit its memo to the Senate chair by the deadline of Friday, October 3.

--Compensation for General Education Subcommittee Chair. COR members agreed that this item was not relevant to the committee's function.

ACTION: The Senate chair will be informed that COR has no comments.

IV. Senate Faculty Grants

Chair Noelle briefly summarized previous COR discussions and previous criteria that were used to evaluate proposals. These discussions included the amount of funds allocated to each faculty member and the criteria used on other campuses (juniority, evidence of need, new research initiatives, travel for dissemination of research, etc.).

Chair Noelle reiterated the need to decide the future of the UCM faculty grants program which will drive the future criteria and evaluation of grant proposals. COR members held a lengthy discussion on the program's objectives, how to rank them, and how to appropriately assess quality. A COR member suggested that the committee require a letter of intent from faculty, after which the PI will be invited to submit a formal proposal for COR to review. In all cases, COR must be clear and transparent about how the elements of the proposal will be assessed.

COR members discussed the possibility of dividing the pots of money by School and the merits of holding a large competition with different categories versus a competition with one category, i.e. bridge funding.

Moving forward, COR members agreed that goals of the faculty grants program should include the following: supporting junior faculty, assisting research areas that rarely receive external funding, providing bridge funding for faculty, supporting projects that contain new directions of research, and supporting high-risk projects. Other considerations are supporting interdisciplinary projects and encouraging junior and senior faculty grant collaborations.

After a brief discussion on the need for emergency and bridge funding for faculty, COR members requested a follow up meeting with VCs Feitelberg and Reese, AVC Jones, Controller Riley, and VCR Traina to receive updates on the new indirect cost return rate model.

There being no further business, the meeting adjourned at 4:30 pm.

Attest: David C. Noelle, COR Chair

Minutes prepared by: Simrin Takhar, Senate Analyst



OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

May 23, 2014

COUNCIL OF VICE CHANCELLORS
LABORATORY DIRECTOR ALIVISATOS
ACADEMIC COUNCIL CHAIR JACOB
ANR VICE PRESIDENT ALLEN-DIAZ

Re: Systemwide Review of Proposed Revised Academic Personnel Manual (APM):

- 1) Section 133-17-g-j, Limitation on Total Period of Service with Certain Academic Titles,**
- 2) Section 210-1-c & d, Review and Appraisal Committees,**
- 3) Section 220-18-b, Professor Series, and**
- 4) Section 760-30-a, Family Accommodations for Childbearing and Childrearing**

Dear Colleagues:

Enclosed for Systemwide Review are proposed revisions to Academic Personnel Manual Section 133-17-g-j (APM - 133), Limitation on Total Period of Service with Certain Academic Titles; Section 210-1-c & d, Review and Appraisal Committees (APM - 210); Section 220-18-b, Professor Series (APM - 220); and Section 760-30-a, Family Accommodations for Childbearing and Childrearing (APM - 760). These proposed changes to four separate APM sections result from two substantive issues described below.

Revisions of Language on Evaluating Contributions to Diversity

During the 2012-13 academic year, the University Committee on Academic Personnel (UCAP) and the University Committee on Affirmative Action and Diversity (UCAAD) worked together on a proposal to modify APM - 210-1-d to clarify its language regarding evaluation of contributions to diversity in merit and promotion reviews. In spring 2013, Academic Council approved the language proposed by UCAP and UCAAD. The proposed language enclosed has not been changed, since Management Consultation (January – March 2014) documented general support for the new language. Enclosed is a letter dated January 2, 2014 from Academic Council Chair William Jacob to Vice Provost Carlson requesting review of the Senate's original proposal as well as a letter from UCAP Chair Harry Green and UCAAD Chair Emily Roxworthy to Chair Jacob describing their efforts and rationale for the proposed revisions. The letter from Chairs Green and Roxworthy refers to two attachments which consist of current APM - 210-1-d language and language proposed in spring 2013 by Academic Council. The current language and their proposed language is replicated on the enclosed draft using the "track changes" function. Their proposed language remains the proposed language now being circulated for Systemwide Review.

Revisions of Language on Extending the Eight-Year Limitation on Service

Also during the 2012-13 academic year, the University Committee on Faculty Welfare (UCFW) recommended that APM - 133-17-h, Stopping the Clock for the Care of a Child or Children, be amended to expand the permissible reasons to “stop” the eight-year service limitation “clock” due to exceptional personal circumstances beyond the faculty member’s control which may impede timely progress. Draft language proposes that, in addition to childbearing and child care, a faculty member may request to stop the clock for a serious personal health condition, for illness of or for bereavement of a family member, or other significant circumstance or event.

While current policy provides for an automatic exclusion from service limitations when leave is related to childbearing or childrearing (see APM - 133-17-g-(3) and APM - 760-25-30), the proposed revisions specify that campus Academic Personnel procedures will establish how a faculty member may apply for an extension of the eight-year rule when the request is related to a serious personal health condition, for illness of or for bereavement of a family member, or other significant circumstance or event, and how the request will be evaluated.

In addition to amending APM - 133-17-g-j, related revisions are proposed to APM Sections 210-1-c-(4), 220-18-b, and 760-30-a. Language in Sections 210-1-c-(4) and 220-18-b adds reference to stopping the clock due to personal reasons in addition to family accommodation as defined in APM - 760. Also, language is added to confirm that all evidence produced during the probationary period, including the period of extension, counts in the evaluation of the candidate’s review file. Language removes from APM - 760-30-a the child’s five-year age limit for an academic appointee to qualify for an extension of the eight-year rule.

Summarized below are some of the recommendations from Management Consultation (January – March 2014) that have been incorporated in the Systemwide Review drafts:

- Some reviewers found the definition of “child” to be overly descriptive and narrowly focused to the exclusion of other appropriate child care arrangements that warrant consideration for extending the clock. Proposed revisions reflect the recommendation that the focus be on the family member’s commitment to 50 percent or more of the care of the child rather than defining a child.
- Additionally, the restriction of eligible children of the appointee or the appointee’s partner is unduly narrow. Proposed language in APM - 133-h-1 extends the definition to any child who becomes part of the faculty member’s family. Proposed new language in APM - 133-17-h-2 enables a faculty member to request to stop the clock for illness of, or bereavement for, a close family member, other persons residing in the faculty member’s household, or in cases of close personal connection or interdependence, instead of trying to list all possible relationships.
- Reviewers recommended that proposed APM - 133-17-h-3 be modified to include examples such as significant delays in the provision of research space, facilities, or resources promised to the faculty member and necessary for his or her research activities.

- Lastly, reviewers recommended language to reflect that requests to stop the tenure clock for a serious personal health issue constituting disability would be considered a reasonable accommodation requiring documentation confirming the existence of the disability.

Systemwide Review Process

Systemwide Review is a public review distributed to the Executive Vice Chancellors/Provosts, the Director, Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources requesting that they inform the general University community, affected employees and union membership about policy proposals. Systemwide Review also includes a mandatory full Senate review, in this instance, for 60 days, as agreed with Academic Council Chair Jacob.

Employees should be afforded the opportunity to review and comment on the draft new policy, available online at: <http://www.ucop.edu/academic-personnel/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees affected by these proposals.

This letter and enclosures anticipate that you will begin Systemwide Review of the proposed draft and submit comments no later than July 21, 2014. Please send comments on the proposed policy to ADV-VPCARLSON-SA@ucop.edu. Questions may be directed to Janet Lockwood at Janet.Lockwood@ucop.edu or (510) 987-9499.

Sincerely,



Susan Carlson
Vice Provost
Academic Personnel

Enclosures: Letter from Academic Council Chair Jacob to Vice Provost Carlson (1/2/14)
Letter from UCAP Chair Green and UCAAD Chair Roxworthy to
Academic Council Chair Jacob (1/2/14, without attachments)
Proposed Revisions to APM Sections 133-17-g-j, 210-1-c(4), 210-1-d, 220-18-b,
and 760-30-a

cc: President Napolitano
Provost and Executive Vice President for Academic Affairs Dorr
Senior Vice President Vacca
Vice President Duckett
Vice Provosts Academic Affairs/Academic Personnel
Academic Personnel Directors
AA/EEO Directors
Executive Director Tanaka
Executive Director Winnacker
Deputy General Counsel Drown
Deputy Compliance Officer Lane
Senior Counsel Van Houten
Director Chester
Manager Lockwood
Policy and Compensation Analyst Flinker
Policy Coordinator Trifonov

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*Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200*

January 2, 2014

SUSAN CARLSON, VICE PROVOST ACADEMIC PERSONNEL

Re: Proposed revision of APM 210

Dear Susan:

As I believe you are aware, ambiguities in the language of APM 210-1d contains have raised concerns in Senate committees about inconsistent implementation and potential misunderstanding. Accordingly, over the past year, the University Committee on Academic Personnel (UCAP) and the University Committee on Affirmative Action and Diversity (UCAAD) have worked together to develop proposed revisions that they believe would more precisely state the University's commitment to faculty diversity while also avoiding the misperception that research in some fields will be valued more highly than research in others without regard to its academic quality.

I write now to transmit a memo from UCAP and UCAAD chairs Harry Green and Emily Roxworthy providing background context for the proposed change. Please note that the language of APM 210-1d was first proposed by the Senate.

As always, please feel free to contact me or Professors Green or Roxworthy if you have any questions or concerns.

Sincerely,

A handwritten signature in cursive script that reads "Bill Jacob".

Bill Jacob

Encl. (1)

Cc: Academic Council
Executive Director Winnacker
Policy Manager Lockwood
Senate Analysts



UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)

Harry Green, Chair

harry.green@ucr.edu

UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION & DIVERSITY

Emily Roxworthy, Chair

eroworthy@ucsd.edu

Assembly of the Academic Senate

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Phone: (510) 987-9466

Fax: (510) 763-0309

January 2, 2014

BILL JACOB, CHAIR
ACADEMIC COUNCIL

RE: APM210-1.d Historical Context and Need for Revision

Dear Bill,

Historical Context

In the fall of 2002, President Atkinson convened a Strategic Review Panel that recommended incorporating educational outreach (which helps disadvantaged and underrepresented populations) into the teaching and research mission of the UC faculty. The Panel's final report in Spring, 2003, also recommended involving faculty more directly in efforts to serve the community. One of the University's responsibilities as a land-grant institution is to provide broad and equitable education for all eligible California residents, including those in disadvantaged and underrepresented groups. As a consequence, faculty contributions to diversity and equal opportunity are to be highly valued by the University. Accordingly, the Panel asked the Academic Senate to develop means by which faculty members could be properly recognized and rewarded for their participation in these forms of educational outreach.

In 2003-04, the Senate's University Committee on Affirmative Action and Diversity (UCAAD) worked with several other Senate committees to propose language for the Academic Personnel Manual (APM) that would instruct campus reviewers to evaluate contributions to diversity and equal opportunity in all three categories of the academic appointment, review, and promotion process (teaching, research, and service). Revisions of three sections of the APM were proposed to guide Deans (APM 240), Department Chairs (APM 245) and the Academic Merit and Promotion process (APM 210) in promoting diversity and equity. The first two revisions were approved with little discussion but the proposed revisions to APM 210 met with considerable controversy. In particular, the University Committee on Research Policy (UCORP) commented that "By singling out a specific area of work for special treatment, it seems to imply that the subject matter itself is more important than and substitutes for scholarly rigor, objectivity and originality" and "It is also unclear how to distinguish between diversity efforts that should count as "research and creative work" rather than as "University and public service." In 2004-05, following further discussion and system-wide review, the Academic Council unanimously approved creation of a new paragraph of APM 210 (section 210-1.d) [Attached]. The Administration concurred and charged each campus with devising local strategies to implement the new policy.

Need for Revision

Since 2005, each campus has approached APM 210-1.d autonomously, and its implementation has been uneven and inconsistent across the system, primarily due to confusions and/or disagreements concerning the original two concerns of UCORP. Finally, in 2011/12, after extensive and animated discussions, the University Committee on Academic Personnel (UCAP) concluded that the current wording of APM 210-1.d was unworkable because its language is ambiguous; it can be read to say that research into diversity and equity holds a privileged position above other academic disciplines. This conclusion was reached while UCAP was reviewing the report of a Faculty Diversity Working Group convened by President Yudof in early 2011 as part of the Campus Climate Council. One of the Working Group's key recommendations was that the Senate devise strategies for fully implementing APM 210-1.d as soon as possible. As a consequence of the Working Group's recommendation and UCAP's conclusion of unworkability of the current wording, in Fall 2012, the Senate Chair tasked UCAAD and UCAP with revising the language of APM 210-1.d to make it unambiguous to ensure that the policy would be fully and consistently implemented on every campus.

Proposed New Language

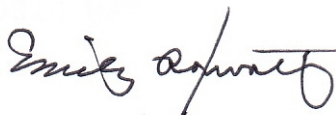
During the 2012-13 academic year, UCAAD and UCAP worked together to modify the language of APM 210-1.d to clarify: (i) that all academic disciplines have equal standing in the merit/promotion process; (ii) that contributions to diversity and equity by faculty members for whom diversity and equity are not primary research fields are also to be encouraged as an aspect of their teaching and/or service; (iii) that mentoring of diverse students and faculty in any discipline is important and can require considerable time and effort, for which faculty should be rewarded appropriately. The proposed revisions include explicit language stating that research, teaching, and service related to diversity and equal opportunity comprise a valid disciplinary area that is to be judged on its own merits—at the same level of recognition as any other academic discipline recognized by the University of California. At the same time, contributions toward diversity, equity and inclusion in teaching and/or service are to be highly valued in the merit/promotion process of faculty in any discipline. Mentoring of diverse students and faculty is specifically to be given “due recognition” in the merit/promotion system. That is, such mentoring is to be addressed on a “sliding scale”, thereby giving appropriate recognition depending on the level of involvement of the faculty member. In Spring, 2013, the Academic Council approved with a large majority the revised wording for APM 210-1.d [attached] that is now to be distributed for discussion and approval by the full Senate.

Finally, both UCAAD and UCAP recommend that every campus provide dedicated sections on the biobibliography or elsewhere in the review file where faculty can, if they wish, document their contributions to diversity and include narrative that details the efforts and impacts of these activities. Such presentation will allow reviewers at all levels to evaluate these voluntary contributions to teaching and service in the context that they are valued highly by the University.

Sincerely,



Harry Green, Chair
UCAP



Emily Roxworthy, Ph.D., Chair
UCAAD

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g. Applicability of Periods of Leave

The applicability of periods of leave toward the eight-year period shall be as follows:

- (1) Temporary transfers or changes of status from Assistant Professor (or any other title listed in APM - 133-0) to any other title or title series shall be regarded as periods of academically-related leave under this rule and shall be included as service toward the eight-year period.
- (2) A leave of absence, with or without salary, taken in the year in which the promotion review of an Assistant Professor is otherwise scheduled shall not provide a basis for postponement of that review.
- (3) Periods of leave, whether with or without salary, shall be included as service toward the eight-year period unless, upon the basis of a petition filed at the time leave is requested, or in the case of sick leave, normally within one quarter or semester after the leave is taken, the Chancellor, ~~after consultation with the appropriate committee of the~~

~~Academic Senate~~ determines that the activity undertaken during the course of the leave is substantially unrelated to the individual's academic career. The Chancellor shall report such a decision in writing to the individual.

Comment [AP1]: The Chancellor holds the authority to grant requests for leave and requests to extend the eight-year service period due to qualifying leave; thus, consultation with the Senate is removed.

However, any childbearing or parental leave, provided for in APM - 760-25 and 760-27 which is equal to or exceeds one semester or one quarter and which is not greater than one year, whether with or without salary, shall automatically be excluded from service toward the eight-year period unless the faculty member informs the department chair in writing before, during, or within one quarter or semester after the leave that it should not be excluded from service toward the eight-year period. (See APM - 133-17-a, -b, -c, -d, and -i.)

Note: Exclusion of one or two quarters or one semester will not necessarily delay the timing of a review.

Any other approved leave provided for in APM - 133-17-h also is excluded from service toward the eight-year period.

- (4) For determining years toward the eight-year limitation of service, the combined total of periods of leave unrelated to academic duties and time off the clock may not exceed two years.

h. Stopping the Clock ~~for the Care of a Child or Children~~

A faculty member may request to stop the clock during the probationary period for personal reasons (see below), including child care, serious health condition or bereavement, or significant circumstance or event that disrupts a faculty member's ability to pursue his or her duties. Extensions are normally granted for a period of up to one year for each event, automatically for some reasons, and upon request and approval for other reasons. A faculty member may be granted no more than two years of extension during the probationary period. A faculty member is eligible to stop the clock even if the faculty member does not take a formal leave or have a modification of duties. A request to stop the clock should be made as soon as the need becomes apparent.

(1) Child Care

A faculty member may stop the clock during the probationary period to care for any child who becomes part of the faculty member's family. ~~newborn child or a child under age five newly~~

~~placed for adoption or foster care.~~ To be eligible to stop the clock, a faculty member at the Assistant level must be responsible for 50 percent or more of the care of the child. ~~The child may be the appointee's child or that of the appointee's spouse or domestic partner. The clock may be stopped for up to one year for each event of birth or placement; provided that all the time off the clock totals no more than two years in the probationary period.~~ The birth or placement of one or more children at the same time constitutes a single event of birth or placement. ~~A faculty member is eligible to stop the clock even if the faculty member does not take a formal leave or have a modification of duties.~~ (See also APM - 760-30 ~~for additional provisions.~~)

(2) Serious Health Condition or Bereavement

A faculty member may request to stop the clock during the probationary period, which may be approved by the Chancellor, when his or her ability to pursue his or her duties is significantly disrupted by a debilitating health condition, by the need to care for a close family member who is seriously ill, or by the death of a close family member. This provision also covers other persons residing in the faculty member's household or in cases involving

close personal connection or interdependence.

A faculty member's request to extend the tenure clock for a period longer than an approved sick leave or extended illness leave may be appropriate in certain circumstances. Requests to extend the tenure clock for a serious personal health issue must include documentation confirming the existence of the disability and the need for reasonable accommodation.

(3) Significant Circumstance or Event

A faculty member may request to stop the clock during the probationary period, which may be approved by the Chancellor, for reasons due to a significant circumstance or event beyond the faculty member's control that disrupts the faculty member's ability to pursue his or her duties. Examples of significant circumstances or events beyond the faculty member's control for which the faculty member may request to stop the clock include the effects of a natural disaster or the effects of significant delays in the provision of research space, facilities, or resources promised to the faculty member and necessary for his or research activities.

- i. Provisions of APM - 133-17-g and -h when combined may not exceed one year for each event of birth or placement for adoption or foster care.

- j. Faculty members shall not be arbitrarily disadvantaged in their promotion, advancement, or compensation because they have elected to take a childbearing or parental leave, to stop the clock for reasons listed in section (h) above, or to defer a personnel review. Personnel reviews that are deferred due to a family accommodation as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. The file shall be evaluated without prejudice as if the work were done in the normal period of service and so stated in the department chair's letter.

133-20 **Notice of Non-Reappointment**

The schedule for the Professor series set forth in APM - 220-20 applies also to notice not to reappoint individuals with titles listed in APM - 133-0-a except for individuals with Acting or Visiting appointments. Appointments of these latter types are self-terminating with

Rev. ~~1/1/06~~5/23/14

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GENERAL UNIVERSITY POLICY
REGARDING ACADEMIC APPOINTEES
Limitation on Total Period of Service with Certain Academic Titles

APM - 133
DRAFT

specified ending dates, and no further notice is required.

133-96 **Reports**

See APM - 200-96.

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210-1 **Instructions to Review Committees Which Advise on Actions Concerning
Appointees to the Professor and Corresponding Series**

c. **Procedure**

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(4) **Assessment of Evidence** – The review committee shall assess the adequacy of the evidence submitted. If in the committee’s judgment the evidence is insufficient to enable it to reach a clear recommendation, the committee chair, through the Chancellor, shall request amplification. In every case all obtainable evidence shall be carefully considered.

If in assessing all obtainable evidence, the candidate fails to meet the criteria set forth in Section 210-1-d below, the committee should recommend accordingly. If, on the other hand, there is evidence of unusual achievement and exceptional promise of continued growth, the committee should not hesitate to endorse a recommendation for accelerated advancement. If there is evidence of sufficient achievement in a time frame that is extended due to stopping the clock for reasons as defined in APM - 133-17-h or a family accommodation as defined in APM - 760, the evidence should be treated procedurally in the same manner as evidence in personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including

the period of extension, counts in the evaluation of the candidate's review

file. The file shall be evaluated without prejudice as if the work were done in the ~~normative~~normal period of service and so stated in the department chair's letter.

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210-1 **Instructions to Review Committees Which Advise on Actions Concerning
Appointees in the Professor and Corresponding Series**

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d. **Criteria for Appointment, Promotion, and Appraisal**

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The University of California is committed to excellence and equity in every facet of its mission. Contributions in teaching, research and other creative work, professional activity, and University and public service contributions that promote equal opportunity and diversity and ~~and equal opportunity~~ are to be encouraged. ~~and given recognition in the evaluation of the candidate's qualifications. They should be given the same weight in the evaluation of the candidate's qualifications during Academic Personnel actions as any other contributions in these areas.~~ These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance research, teaching, equitable access to education, and public service that addresses the needs of California's diverse population, ~~or research in a scholar's area of expertise that highlights inequalities.~~ Mentoring and advising of diverse students or ~~new~~ faculty members are to be encouraged and given due recognition in the teaching or service categories of ~~the Academic Personnel actions process.~~

The criteria set forth below are intended to serve as guides for minimum standards in judging the candidate, not to set boundaries to exclude other elements of performance that may be considered.

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220-18 **Salary**

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- a. Authorized salary scales established for this series are issued by the Office of the President.

- b. **Normal Periods of Service**

The normal periods of service at rank and step in this series are shown in the published salary scales and are described below. Although these time periods indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit, or more gradual advancement when warranted. Personnel reviews that are deferred due to stopping the clock for reasons as defined in APM - 133-7-h or a family accommodation as defined in APM - 760 should be treated procedurally in the same manner as personnel reviews conducted at the usual intervals. All evidence produced during the probationary period, including the period of the extension, counts in the evaluation of the candidate's review file. The file shall be evaluated without prejudice as if the work were done in the normal period of service and so stated in the department chair's letter.

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760-30 **Stopping the Clock for Child Care~~the Care of a Child or Children~~**

- a. An academic appointee may stop the clock during the probationary period to care for any a newborn child who becomes part of a faculty member's family or a child under age five newly placed for adoption or foster care. To be eligible to stop the clock, an appointee at the Assistant level must be responsible for 50 percent or more of the care of a child. ~~The child may be the appointee's child or that of the appointee's spouse or domestic partner. The clock may be stopped for up to one year for each event of birth or placement; provided that all time off the clock totals no more than two years in the probationary period.~~ The birth or placement of one or more children at the same time constitutes a single event of birth or placement. An appointee is eligible to stop the clock even if the appointee does not take a formal leave or have a modification of duties. (See APM - 133-17-g-jh.)

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Academic Senate Faculty Research Grants Call For Proposals

Deadline For Submission: March 14, 2014

PURPOSE

Faculty research grants are designed to support the research activities of UC Merced faculty and provide seed funds to assist in the development of extramural proposals to support research at UC Merced.

ELIGIBILITY CRITERIA

1. Each full-time member of the UC Merced Division of the Academic Senate, including emeritus members, is eligible to submit one grant proposal in response to this call.
2. Each faculty member may request up to \$5000 in research funding. Funds may be requested for most research costs, with some exceptions. (See Allowable and Unallowable Expenses, below.)
3. Faculty members may collaborate to submit a joint proposal, in which case the collaborators may not also submit individual proposals. Each faculty member may participate in only one proposal. Joint proposals may request funding up to an amount which is a multiple of \$5000, with the multiple being the number of collaborators contributing to the proposal. Regardless of the number of participating faculty, awards may not exceed \$20000, however.
4. Faculty on sabbatical leave or leave of absence (in residence or elsewhere) may apply for research funds. Grants will not be awarded, however, without assurance that the awardee will return to UC Merced after the absence.
5. Undergraduate students, graduate students, and postdoctoral researchers are not eligible to submit proposals, but faculty members may request funds to support student research activities under the supervision of the faculty member, provided that such activities are integral to a program of research being pursued by the

faculty member. Funds may not be applied to the support of postdoctoral researchers or of other research staff, however.

6. Non-tenured faculty members without extramural support are particularly encouraged to apply.

PROPOSAL CONTENT AND FORMAT

Each proposal must include all of the following:

1. **Cover Sheet:** This must include the name(s) of the participating faculty member(s), academic title(s), school affiliation(s), graduate group affiliation(s), electronic mail address(es), a proposal title, and a proposal abstract. The abstract must not exceed 350 words.
2. **Proposed Research:** This section should explain the research to be conducted with the requested funds, providing adequate background information and context to allow for a clear understanding of the proposal by an academic but non-expert reader. This description should be as specific and detailed as possible, given space limitations and the need to remain accessible to non-experts. This section should explain the potential impact that funding will have on the research program(s) of the proposing faculty member(s), as well as how this funding could assist in the development of research group(s) and faculty career trajectories. All requests for equipment, or other forms of infrastructure, must include an equipment management plan in this section. *The contents of this section may not exceed 3 single-spaced pages, with margins no smaller than 1 inch and fonts no smaller than 11 point.*
3. **Reference List:** This section should provide a bibliography of work referenced elsewhere in the proposal document. *This section may not exceed 1 single-spaced page, with margins no smaller than 1 inch and fonts no smaller than 11 point.*
4. **Budget:** How provided funds are to be used should be presented in a tabular format, listing the amount required for each line item.
5. **Budget Justification:** Each line item in the budget should be explained and justified, particularly with regard to constraints on allowable expenses (see below).
6. **Extramural Funding:** This section must list all pending and awarded extramural grants and contracts received by the proposing faculty member(s) for at least the last five years. For each award, the project title, funding amount, start date, and duration should be specified.
7. **Internal Funding:** This section must list all pending and awarded funds received by the proposing faculty member(s) from UC Merced sources, including Academic Senate funding programs, covering at least the last five years. For each award, the

project title, funding amount, start date, and duration should be specified. For each award granted by an Academic Senate program, a single-paragraph report on the results of the award should be included.

8. **Alternative Funding:** A brief justification of the proposed request for funding when alternative sources of extramural funding for the budgeted items are currently available to the proposing faculty member(s) should be provided in this section. If no such alternative sources of extramural funding are available, that fact should be clearly stated and justified. *This section may not exceed 1 single-spaced page, with margins no smaller than 1 inch and fonts no smaller than 11 point.*
9. **Seed Funding:** If the requested funds will support the preparation of one or more proposals for extramural funding, details concerning the extramural funding programs to which such proposals are to be submitted should be provided in this section. If recent attempts to secure extramural funding for the proposed budget items have been made, details concerning those submissions should be itemized. If the requested funds are not to be used as seed funding to assist in the preparation of extramural funding proposals, then that fact should be clearly stated. If extramural funds have not and will not be pursued for the proposed work due to the lack of an appropriate existing extramural funding program, this section should provide evidence that no such programs exist, describing efforts that have been made to identify possible funding sources.
10. **Human Subjects Approval:** If the proposal involves research on human subjects, information concerning institutional ethical review and approval of the proposed work should be presented in this section.
11. **Animal Subjects Approval:** If the proposal involves research on non-human animals, information concerning institutional ethical review and approval of the proposed work should be presented in this section.
12. **Curriculum Vitae:** This section must contain a CV for each faculty member participating in the proposal.

These sections should be assembled into a single document file in Adobe's *Portable Document Format* (PDF). While sections should appear in the order shown above, each section does *not* need to begin on a fresh page, but each section must be clearly labeled. The proposal file should have a name that begins with "COR_2014", followed by the last names of all participating faculty, separated by underscore characters. For example, a proposal submitted by faculty members Smith and Jones should be named "COR_2014_Smith_Jones.pdf".

ALLOWABLE EXPENSES

Categories of allowable expenses include the following:

- **Research Assistance:** Proposals requesting support for assistants must include a statement of each assistant's exact duties, budgeted hours of labor, and rate of pay. For graduate student support, the student to be supported must be identified. This information is to be included in the Budget Justification section of the proposal document.
- **Supplies and Equipment:** Awarded funds may be used to purchase research equipment and supplies. The purchase of such items is subject to the policies outlined in *UC Business and Finance Bulletin BUS 29*. Equipment purchased with awarded funds will be the property of the University of California. Books, reports, journals, video or audio recordings, and similar research materials may be purchased with awarded funds, but these should be itemized and their purchase justified in the Budget Justification section of the proposal. Similarly, budget line items for computer equipment or computer software are allowed, but they should be explicitly justified as essential for the research activities proposed, providing capabilities not present in the computer equipment currently available to the proposing faculty member(s). Miscellaneous supply and service costs (e.g., telephone, fax, copying, postage) must be justified as essential for the proposed work.
- **Recharge Fees:** Awarded funds may be applied to recharge fees associated with the use of core research facilities or other shared or institutional research resources. The Budget Justification section should explain how each requested recharge payment is required by the proposed work.
- **Travel for Research Purposes:** Expenses incurred for investigative travel and field work may be allowed if such travel is important for the proposed research. For example, such travel may be necessary to collect data or to inspect materials that cannot be procured by other means. Travel expenses for both the participating faculty member(s) and supervised graduate students may be budgeted. The Budget Justification section should explain the need for the proposed travel, and the Budget should break down such expenses into standard travel categories (e.g., flight costs, ground travel costs, housing costs, food costs, etc.).
- **Dissemination of Research Findings:** Expenses incurred for travel to academic conferences or other meetings to present research results arising from the proposed work are allowed. Travel expenses for both the participating faculty member(s) and supervised graduate students may be budgeted. The Budget Justification section should specify and describe intended forums for presenting research findings, and the Budget should break down such expenses into standard travel categories (e.g., flight costs, ground travel costs, housing costs, food costs, etc.). Research findings may also be disseminated through publication, and reasonable required publication fees may also be included in the Budget section.

Other kinds of expenses may be considered, but they will require special justification in the proposal document.

UNALLOWABLE EXPENSES

Categories of expenses that are *not* allowed to be covered by awarded funds include:

- **Research Assistance:** Awarded funds may *not* be used for faculty salary support, salary support for postdoctoral fellows, or salary support for other research staff. These funds may *not* be used to support curricular, administrative, or teaching aids.
- **Supplies and Equipment:** In general, awarded funds may *not* be used to purchase equipment that serves routine productivity purposes (e.g., printers, scanners, mobile telephones, mobile telephone service, calculators). Similarly excluded are standard office and computer supplies (e.g., paper, pens, pencils, flash drives), office furniture, and costs associated with the maintenance, operation, or repair of standard office equipment. Individual subscriptions to periodicals and professional society dues are also considered inappropriate budget items.
- **Travel:** If a participating faculty member will be on sabbatical leave or a leave of absence during the period of an award, then, except under special circumstances, awarded funds may *not* be used for travel between the Merced campus and the locale of leave. Also, subsistence during the period of leave is not fundable.

HUMAN AND ANIMAL SUBJECTS

- **Human Subjects:** Proposed research involving the use of human subjects must be approved by the Institutional Review Board before funds will be allocated. A copy of the approval or protocol number and applicable dates must be provided prior to the awarding of funds.
- **Animal Subjects:** Proposed research involving the use of non-human animals must be approved by the Institutional Animal Care and Use Committee. A copy of the approval or protocol number and applicable dates must be provided prior to the awarding of funds.

USE OF FUNDS

- **Budget Adaptation Post-Award:** Each line item in the proposal Budget must be justified in terms of the specific research activities being proposed. Expenditures of awarded funds are expected to generally conform to budgeted allocations by category and purpose. Faculty who receive awards must request approval from the Committee on Research (COR) prior to any change in the use for which funds were allocated. Reasonable requests within the scope of the proposed research activities will typically be granted.

- **Award Period:** Grants awarded by this program have a period of a single year. All award monies must be spent before June 1, 2015. Funds will not be provided for expenses incurred prior to the date upon which a grant is awarded. Faculty awardees are responsible for the administration of their grants, including the covering of overdrafts. Faculty awardees are expected to promptly return any funds that will not be spent before their grants expire. Any unexpended funds remaining on the grant expiration date will automatically revert to the Executive Vice Chancellor and Provost for redistribution.
- **Equipment:** Any equipment purchased with awarded funds will be the property of the University of California, and possession is retained by the University of California beyond the completion of the period of the grant.
- **Compliance:** All expenditures are subject to applicable University of California regulations.

EVALUATION CRITERIA

Proposals will be reviewed and evaluated by the Committee on Research (COR) of the Academic Senate. Proposals that are incomplete or do not meet minimum conformance standards to the requirements outlined in this document will not undergo further review. The remaining proposals will be ranked according to the following criteria, in the specified order:

1. *Evidence of funding need:* Proposals that demonstrate a lack of alternative available extramural funds for the proposed research activities will be preferred over those for which other extramural funds are available.
2. *The existence of past efforts to secure extramural funding for the proposed research activities:* Proposals for which any such past efforts exist will be preferred over requests for funds that have not been previously sought from some extramural source. Proposals that make a convincing case that no appropriate extramural funding programs exist will be ranked highly, along with those for which previous extramural proposals have been submitted.
3. *Time since the receipt of a research award from the Academic Senate:* Faculty members who have not recently received support through this program (or its predecessor) will be ranked above those who have recently received such support. For proposals involving multiple faculty members, the time since last award will be ascertained for each faculty member, and the largest value across participants will be used to rank the proposal. In this way, recent award recipients benefit by teaming with faculty members who have not previously received an award, or have not received an award in a while.
4. *Targeted extramural funding programs:* Proposals that request seed funds to support the preparation of one or more proposals to explicitly specified extramural

funding programs will be preferred over proposals for which no specific plan for the pursuit of extramural funds is provided.

5. *Juniority:* All other factors being equal, junior tenure track faculty will be preferred over more senior tenure track faculty, and tenure track faculty will be preferred over other members of the Academic Senate. For proposals involving multiple faculty members, the rank of the most junior participant will be used to assess the joint proposal.

While many of these criteria can be determined in a fairly objective manner, assessments requiring judgment will be resolved by majority vote of the COR membership.

It is anticipated that available funds will be insufficient to fully fund all ranked proposals. In general, funds will be allocated to proposals in the order in which they have been ranked, according to the above criteria, until available funds are exhausted. In some situations, however, COR may, based on a majority vote, reduce the size of some awards below requested amounts so as to increase the number of awards granted. Also, in an effort to produce an award portfolio that reflects the range of research being conducted at UC Merced, COR reserves the right to adjust rankings, using an approach that is regularly employed by federal funding agencies.

The proposal rankings and award recommendations produced by COR will be communicated to the Academic Senate Divisional Council, and they will be provided to the Vice Chancellor for Research and the Executive Vice Chancellor to guide the administration in the delivery of award funds. Once an award is made, funds will become immediately available to the participating faculty member(s).

APPLICATION PROCESS

Each proposal must consist of a single PDF file, formatted and named according to the instructions provided above. Completed proposal documents should be delivered to the Academic Senate Office c/o Simrin Takhar: stakhar@ucmerced.edu. Proposals must be received by the end of the day (i.e., before midnight) on March 14, 2014.

If an award is made, funds will become available immediately. All award monies must be spent before June 1st, 2015.

UNIVERSITY OF CALIFORNIA, MERCED

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SANTA BARBARA • SANTA CRUZ

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May 7, 2014

To: AY 14-15 Committee on Research members

From: Ruth Mostern, Chair, AY 13-14 Committee on Research

A handwritten signature in black ink, appearing to read "Ruth Mostern", is written over the "From:" line.

Re: Revised Process for Senate Faculty Research Grants in AY 14-15

As this year's COR members have awarded the 2014 Senate faculty grants (criteria attached), the committee members would like to impart various suggestions that may guide you in establishing next year's grants criteria and process.

- Generate a form which all PIs are required to fill with the objective information that COR needs to make the objective components of the assessment more clear.
- Carefully consider how to weigh each criterion, especially that of PIs' previous funding. Some PIs already have a significant amount of start-up funds and this should be taken into account.
- During the fall semester, ask each School executive committee to develop criteria for quality reviews and send these criteria to COR for comment. In the spring semester, make the review of proposals a two-step process. First, send the individual proposals to the School executive committees to evaluate for quality. The executive committees should then forward the quality-ranked proposals back to COR to apply more objective criteria based on funding need, applicant rank, et cetera, and to complete the final rankings.
- Encourage faculty to submit joint proposals.

cc: AY 13-14 COR members