COMMITTEE ON RESEARCH (COR)
Wednesday, April 23 2014
10:00 – 11:30 am
KL 362
Documents found at UCMCROPS/COR1314/Resources

AGENDA

I. Chair's Report – *Ruth Mostern*
    A. Updates from Division Council meetings
    B. Update from UCORP meeting on April 14
    C. Update from UCOLASC meeting on April 18

II. Consent Calendar
    A. Approval of the agenda
    B. Approval of the April 9 meeting minutes   **Pg. 1-2**

III. AY 14-15 Faculty Grants Criteria   **Pg. 3-9**
    A. **Action requested:** COR to draft a memo to next year's COR with suggestions on how to formulate the criteria for the AY 14-15 faculty research grants.
    B. **Action requested:** COR to draft a memo to the faculty as a whole describing the review process, the success rate and flat rate of allocation, the general reasons why some grants COR deemed ineligible for consideration, and the likelihood that COR will move to a worksheet model next year. A similar memo will also be submitted to Division Council.
    C. **Action requested:** COR to draft a memo to Division Council reiterating its earlier request that the funding allocated to the faculty research grants be increased. The memo should point out the increasingly arbitrary nature of these awards given the small size of the budget allocation for them, and request again that Division Council call for more funding for the program.

IV. Portfolio Review Group (PRG) Reports
    Discussion. Chair Mostern met with UC Merced PRG representative SNS Dean Juan Meza on the PRG cycle 1 and 2 reports. Chair Mostern will debrief COR members on the response she submitted to UCOP on behalf of COR.

V. **Campus Review Items**

    A. <u>UCM Senate Regulations</u>. *Regulations can be viewed at UCMCROPS/COR1314/Resources/Review Items – Campus.*
       Action requested: COR to review the proposed regulations for any research-related implications. Any comments from COR are due to the Senate Chair by April 24.

    B. <u>Electrical Engineering & Computer Science revised graduate proposal</u>. *Proposal can be viewed at UCMCROPS/COR1314/Resources/Review Items – Campus/EECS Proposal/Revised Spring 2014.*
       Action requested: Any comments from COR are due to the Senate Chair by April 25.

VI. **Systemwide Review Items**

    A. <u>APM 190 Appendix A-2</u> (Whistleblower Protection Policy)
       The proposal implements policy requirements mandated by an amendment to the California Whistleblower Protection Act that became effective January 1, 2011. CAP and FWDAF are lead reviewers. *Item can be viewed at UCMCROPS/COR1314/Resources/Review Items – Systemwide.*
       Action requested: COR to review proposed revisions. Comments are due to the Senate Chair on May 7.

    B. <u>Compendium Revisions</u>. *Item can be viewed at UCMCROPS/COR1314/Resources/Review Items – Systemwide.*
       Action requested: COR to review proposed revisions for any research-related implications. Comments are due to the Senate Chair by May 21.

Ongoing Business

Lab Safety – *Jason Hein*
Indirect Cost Return – *YangQuan Chen*

Committee on Research (COR)
Minutes of Meeting
April 9, 2014

Pursuant to call, the Committee on Research met at 10:00 am on April 9, 2014, in Room 324 of the Kolligian Library, Chair Ruth Mostern presiding.

I.   Chair's Report

Chair Mostern met with SNS Dean Meza - the Merced representative on the systemwide Portfolio Review Group (PRG) - to discuss the PRG's cycle 1 and 2 reports, which outlined the group's recommendations on the future investment in the research entities currently funded by UCOP. Dean Meza related that PRG was in strong accord in its recommendations. Meza feels that the Senate should 1) strongly reinforce support for the MRPI initiative because it is a high-impact, poorly-funded program and 2) nominate a faculty representative for next year's PRG.

ACTION: At the April 23 meeting, COR will draft a memo to UCOP regarding the PRG's cycle 1 and 2 reports.

II.   Consent Calendar

ACTION: Today's agenda and the March 12 meeting minutes were approved as presented.

III.   Campus Review Items
--COR members discussed their concerns with the proposed Public Health major. COR's main concerns are that the planning for public health and health sciences is occurring on a piece meal basis, and, there is a lack of a single organizational structure to administer and plan the public health major and how the absence of this guiding entity will impact the campus research mission.

ACTION: Committee analyst will draft a memo on the Public Health and circulate among the committee for review and approval.

--COR members discussed the revised graduate proposals for EECS, ME, and Sociology.

ACTION: The original COR reviewers of the proposals will review the revised proposals and submit comments to the committee for consideration.

--COR members noted the submission of the MCB graduate proposal.

ACTION: A COR lead reviewer was chosen and will submit comments to the committee for consideration.

IV.   Faculty Grants Proposals
        The remainder of the meeting was devoted to the review of the rankings of the faculty grant proposals.

        ACTION: COR will hold a special meeting to finalize the rankings and select awardees on Wednesday, April 16. Award letters will be submitted to faculty members that week.

There being no further business, the meeting adjourned at 11:30 am.

Attest: Ruth Mostern, Chair

Minutes prepared by: Simrin Takhar, Senate Senior Analyst

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 Vitea:** 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.

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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

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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.