

COMMITTEE ON RESEARCH (COR)**Wednesday, February 25, 2015****3:00 – 4:30 pm****KL 362****[UCMCROPS/COR1415/Resources](#)****I. Chair's Report****A. February 12 Meeting with CAPRA, Division Council, and VC Feitelberg Pg.1-20**

On February 12, CAPRA and Division Council met with Vice Chancellor for Planning and Budget Dan Feitelberg to discuss Project 2020. VC Feitelberg delivered a power point presentation, appended to this packet, with details on academic space.

B. February 19 Meeting with Project 2020 Developers Pg.21-22

As a result of the campus's request for qualifications in 2014, three developer teams were short-listed to lead Project 2020. On February 19, the first team met with campus stakeholders, including Division Council and CAPRA members, to receive input on academic space needs and the overall vision of the campus. Faculty talking points for these meetings are appended to this packet. Additional meetings are scheduled for March. The final request for proposals will be issued by the campus later this spring.

II. Consent Calendar Pg.23-29

Action requested: Approval of February 11 meeting minutes.

III. Revisions to UC Merced Bylaws Pg.30-31

At the February 11 meeting, per Division Council's request, COR members agreed on a set of revisions to the COR section of the UC Merced Bylaws.

Action requested: COR members to approve the suggested revisions appended to this packet.

IV. Agriculture and Natural Resources (ANR) Faculty Positions – VC ORED Traina

At the February 11 meeting, COR inquired about the administrative support for ANR faculty positions on campus.

Discussion: VC ORED Traina will provide the requested information.

V. Sponsored Projects Office

At the February 11 meeting, Chair Noelle announced the retirement of the Director for Sponsored Projects Services and related that VC ORED Traina has asked for faculty participation in hiring a new director. COR members also expressed concern over the process of filing patents under the new, restructured Office of Research and Economic Development.

Action requested: COR to provide input to VC ORED on future directions of Sponsored Projects.

VI. Senate Faculty Grants Program**Pg.35-41**

Action requested: COR members to continue the discussion on drafting the AY 14-15 Call for Proposals.

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



UCMERCED

UC Merced 2020 Project: A Progress Update

Daniel Feitelberg
Vice Chancellor, Planning and Budget
University of California, Merced
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DivCo/CAPRA Joint Meeting
Tuesday February 12, 2015

The University of California, Merced is the 10th campus in UC System



University of California, Berkeley
First Graduating Class, 1873



University of California, Merced
First Graduating Class, 2009

Berkeley UNIVERSITY OF CALIFORNIA	UCSF	UCLA	UCSB	UC DAVIS UNIVERSITY OF CALIFORNIA	UC RIVERSIDE	UC San Diego	UC IRVINE	UNIVERSITY OF CALIFORNIA SANTA CRUZ	UC MERCED
1869	1873	1919	1944	1959	1959	1964	1965	1965	2005

What was the rationale for establishing UC Merced?

Pre-Planning Goals

1. Accommodate demand for the UC System

2. Serve the Higher Education needs of the Central Valley

3. Serve the State and region through graduate and research education

2015 Reality

6,200 students, and record applications for Fall 2015 class – Fastest percentage rise in the system

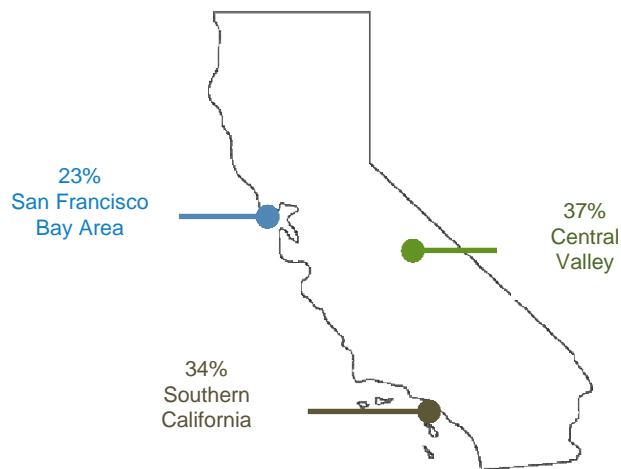
37% of undergraduates are from the Central Valley – Highest in the system

Graduate Research Programs funded by every Directorate of the National Science Foundation

Source: “Status Report on Planning for a Tenth University of California Campus”, Discussion Item, Rationale for the 10th Campus, July 1997 Regents Meeting.

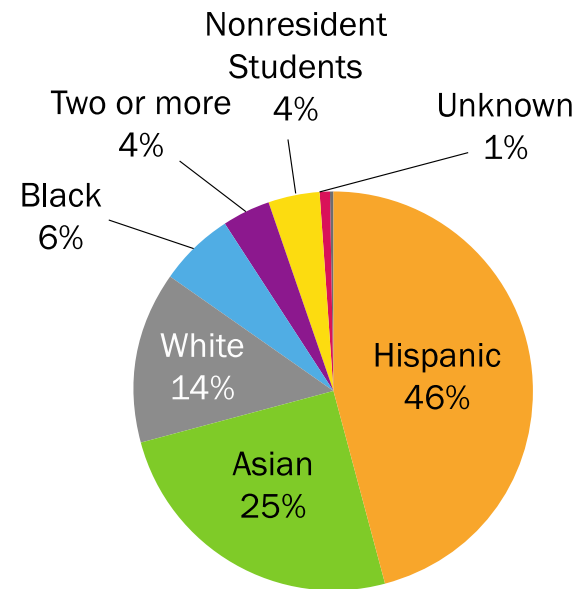
UC Merced: By every measure, a success for Californians

Top Regions of Origin, Fall 2014 UC Merced Undergraduates



- 97% of students from California
- 62% are the first in their families to attend a four-year university
- Almost 20,000 applicants for Fall 2015, a 14% increase from previous year

Undergraduate Enrollment by Ethnicity, Fall 2014



Among the most diverse campuses in the UC system

The 2020 Vision: An intimate campus, a unique mission and poised for growth



A venue for social mobility reflecting the diversity of California's next generation



Global and national research distinction in unique, targeted areas



A proven catalyst for economic diversification in the San Joaquin Valley

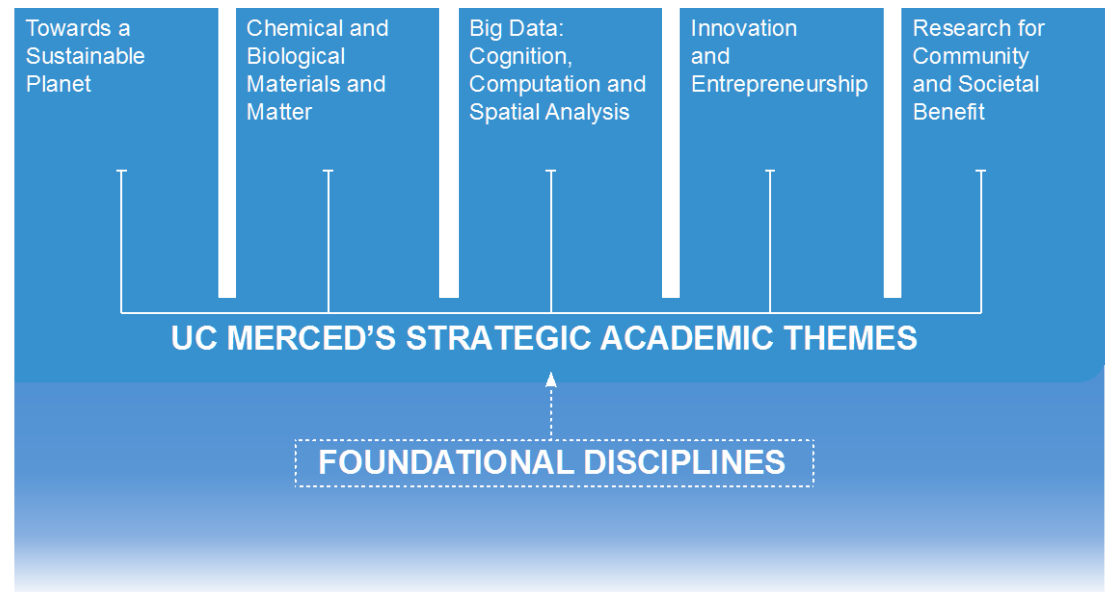


The 2020 Vision: A Unique and Strategic Academic Trajectory

The campus completed a Strategic Academic Focusing Initiative for development of:

- Undergraduate majors
- Graduate research programs
- Faculty hiring

Strategic Academic Themes



UC Merced has a critical need for space in order to continue its growth

- 6,200 students today
- UC enrollment goals and referrals call for significant growth at the Merced campus
- 10,000 students by 2020
- Received nearly 20,000 applications for Fall 2015 -- 14% more than last year
- Campus had seats for 9.3% of applicants
- The campus is slowing enrollment due to capacity constraints

UC MERCED: ACADEMIC SPACE (2014)

UC MERCED 2014	ASF per Student	ASF per Faculty
	77	1,493

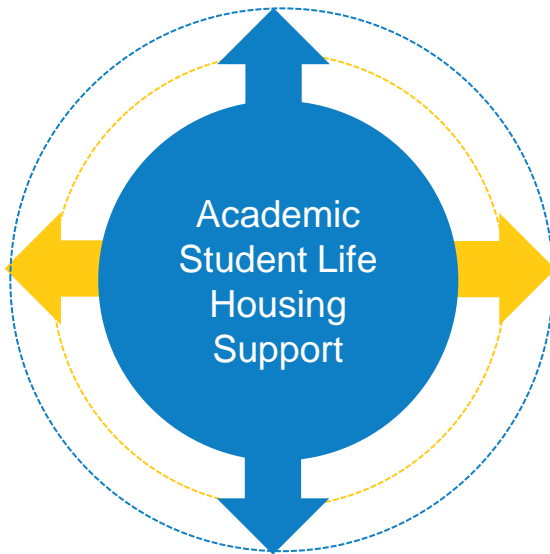
NATIONAL COMPARATORS: ACADEMIC SPACE

IFA BENCHMARKS	ASF per Student	ASF per Faculty
Research University	177	3,105
Private College	110	2,241
Community College	42	2,356
Medical Univ.	994	2,493
SCUP BENCHMARKS	ASF per Student	ASF per Faculty
5,000-9,999 (Pub. 4yr)	101	1,850
10,000-24,999 (Pub. 4yr)	119	2,455



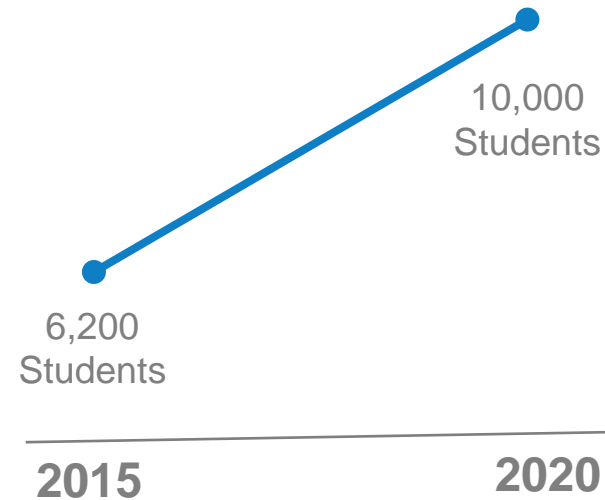
Objectives of the 2020 Project

Address Critical, Existing Needs



Remedy current space deficiencies by expanding facilities to manageable levels

Position campus for future growth



Increase enrollment growth to 10,000 students by 2020 by increasing space in all categories



The 2020 Project is a pragmatic approach to growth



Simultaneously expands space capacity across all categories



Creates synergy between buildings and programs



Creates new spaces cost effectively and rapidly



Unlocks private sector innovation and expertise



Provides long term financial planning and predictability



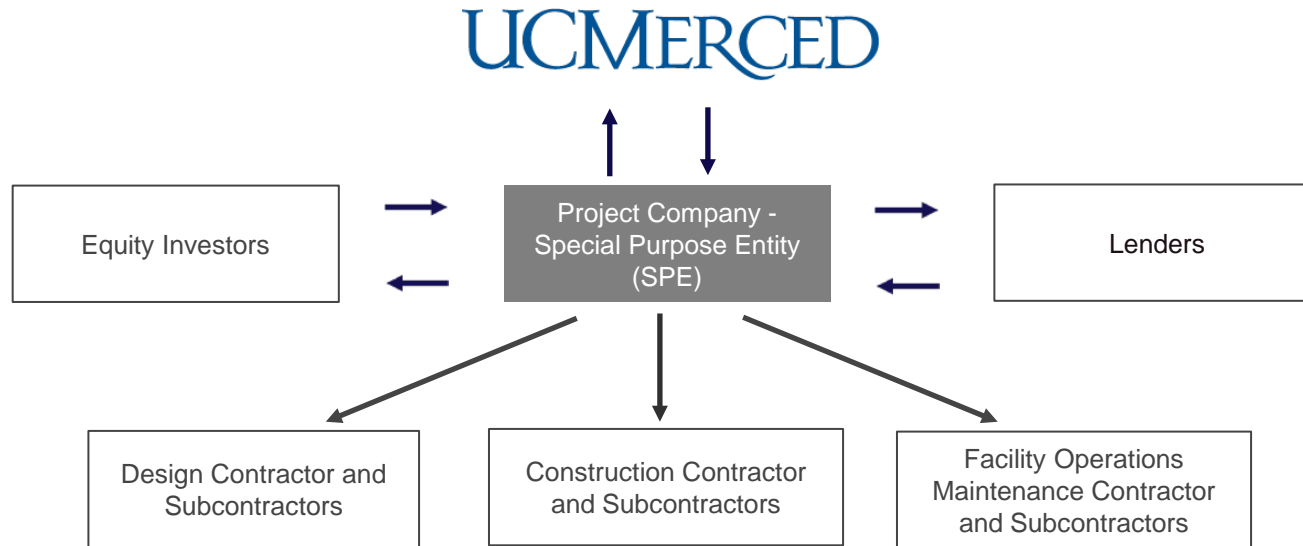
Enables UC Merced to focus on its core teaching, research and public service mission



The 2020 Project Strategy: “DBFOM” model as applied to Higher Education

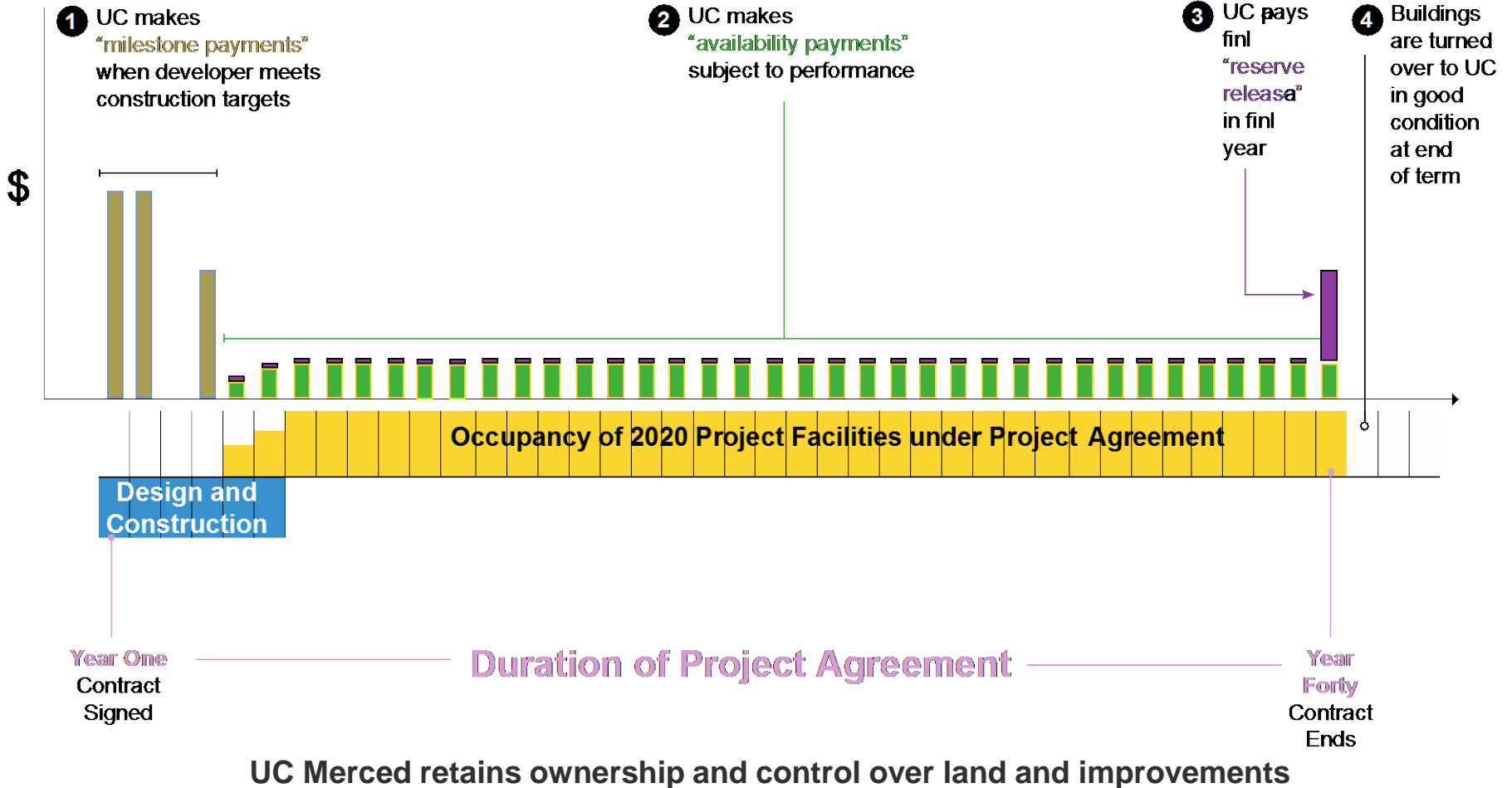
D	Master Plan, Design of Facilities and Infrastructure	<ul style="list-style-type: none">• Project Company creates a master plan and building designs according to detailed Project Agreement standards
B	Build Facilities and Infrastructure	<ul style="list-style-type: none">• Project Company constructs all facilities and infrastructure
F	Finance	<ul style="list-style-type: none">• Project Company partner secures financing
O	Operations and Maintenance	<ul style="list-style-type: none">• Project Company partner performs lifecycle maintenance and management for the facilities
M		

The DBFOM Delivery Method



- The Project Company is structured to create a single interface with UC Merced
- This single interface facilitates an effective dispute resolution process governed by the Project Agreement

UC Merced proposes an Availability Payment DBFOM Agreement





Campus focus will be on mission-related aspects and project delivery

- Student enrollment
- Tuition rate structure
- Federal and state funding sources
- Teaching, research and campus administration
- Funding of availability payments and debt service on UC bonds
- Oversight of the project developer
- Available auxiliary revenues
- Operations of existing facilities outside of the 2020 Project
- The campus will run stress tests on its long-range financial plan based upon its retained risk

Business Case Analysis shows the approach yields cost and time savings

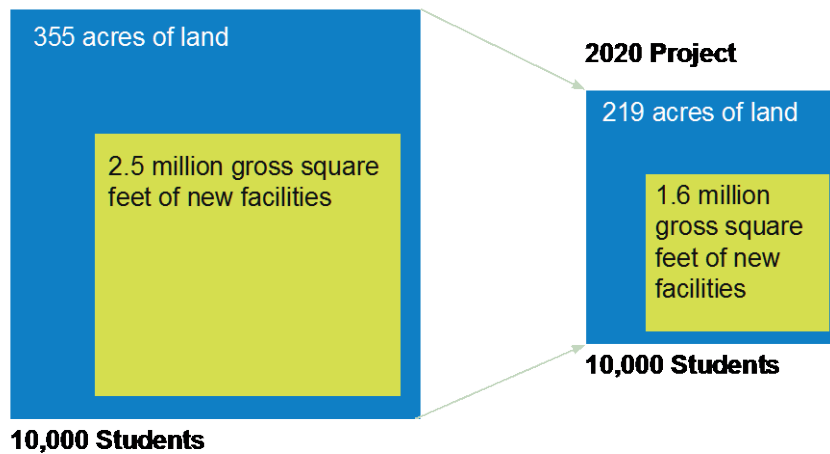
Preliminary and conservative estimates show a dramatic difference:

- Over the lifecycle of the facilities, overall cost savings range between 10-15% -- equivalent to at least \$100 million
- Shortens the delivery of 2020 Project facilities from 2024 to 2020
- Business Case Analysis will evolve during the selection process as program and costs are confirmed

The program is a refinement of what was envisioned by the 2009 LRDP

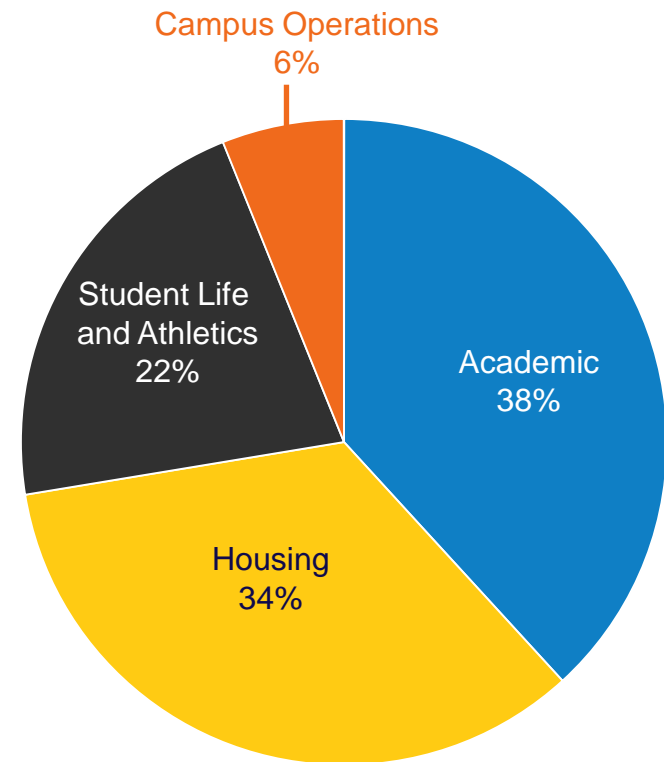
Differences between LRDP and 2020 Project

2009 Long Range Development Plan



Refined based on input from campus stakeholders

2020 Program Summary



A mixed use, academic living-learning environment

The expansion area is from Scholars Lane to Bellevue Road





Next Steps: RFQ/RFP Process

Three teams have qualified to respond to the Request for Proposals

EP2 Developers

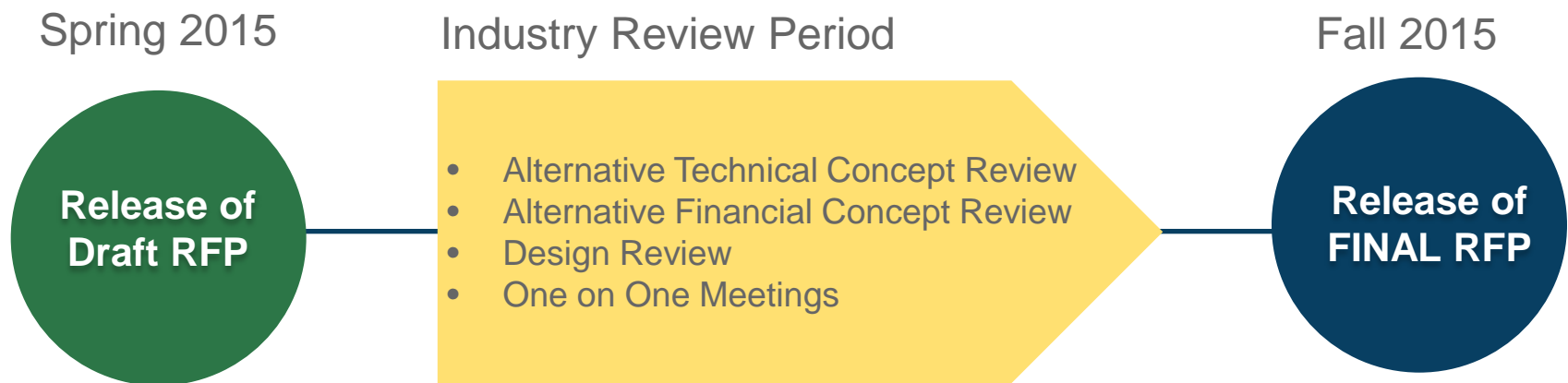
Edgemoor Infrastructure & Real Estate LLC, Plenary Group (Canada) Ltd.
Education Realty Trust, Inc.

E3 2020

Balfour Beatty Investments, Inc., Balfour Beatty Construction, LLC
Sundt Construction, Inc.

Merced Campus Collaborative

Lend Lease (US) Investments, Inc., Macquarie Capital Group Limited
ACC OP Development LLC, McCarthy Building Companies
Lend Lease (US) Construction Inc.





The 2020 Project will help fulfill UC Merced's academic goals and achieve the UC system's mission

Cost Effective and Rapid Delivery of Buildings

- Fully integrated delivery and faster completion
- Design integration will enable the campus to more easily achieve sustainability objectives

Better Pricing

- More efficient pricing of construction and lifecycle costs

Financial Certainty

- Long-term budget planning for lifecycle facilities cost
- Likely reduction of impact on UC credit capacity

Risk Transfer

- Significant Risk Transfer for Cost and Schedule



2020 Project Update

Upcoming Calendar

February-March 2015

Campus Visits from Teams

March 19-20, 2015

Regents Meeting

Spring 2015

Release of Draft RFP

UCMERCED

<http://2020project.ucmerced.edu>

**Faculty (CAPRA and DivCo) talking points
Pre-RFP Campus Visit by 2020 Project Teams
February 2015**

Our goal for Project 2020 is to have a campus with sufficient space to not just meet the needs of diverse constituencies on campus and allow us to achieve our mission as a public research university capable of fostering interdisciplinary or transdisciplinary research, but to allow for at least modest growth in research and teaching beyond 2020.

Most important priority for faculty: adequate academic space. This includes faculty research labs, offices for ladder-rank faculty, full- and part-time lecturers, grad students, and other research staff, teaching labs, lecture (*i.e.* 50-750 students) and discussion-based (*e.g.* seminar, flexible seating) classrooms, and performance/activity spaces. Current faculty research lab space is much too small, on a per-faculty basis, to allow development of UC-quality research programs.

To allow us to grow from 6200 to 10000 students, the number of permanent faculty should increase by at least a factor of two (too much of our teaching is currently done by lecturers) and faculty research space should increase by at least a factor of three. This will allow us to recruit and retain top quality faculty and build excellent existing and future programs. The expansion of student services has been justified as required to attract a larger number of highly qualified students, but the expansion of research facilities is at least equally necessary to attract and retain top quality faculty.

Cost-saving measures must not be taken if they detract from the functionality of the building. For example, the current SE2 building was designed with labs intended for organic chemistry, but the building doesn't meet fire codes allowing organic chemicals to be stored there.

Buildings cannot be designed for generic use, as different disciplines have different needs for both classroom and, particularly, research space. However, even lab space designed for a particular discipline must be easily reconfigurable to meet the needs of faculty who have not yet been hired, to allow individual faculty members' programs to grow, and to provide for unanticipated changes in the way research is done (*e.g.* new types of instrumentation). Consultation with faculty at early stages in the design process is essential to avoid building generic space that does not meet our needs.

There are advantages to having faculty from different disciplines in nearby offices/labs. Lab locations should be determined by function rather than by disciplinary affiliation.

Laboratory buildings, or wings of buildings with certain types of research labs, must be operational (utilities, *etc.*) 24 hrs per day, 365 days per year. Evenings, weekends,

and “vacations” are among the most productive times for getting research done. The environment within and surrounding these buildings must be safely accessible to the entire university community at all hours.

Energy efficiency of the buildings and “greenness” of all campus operations should be maintained and improved where possible.

Friendliness and student-centeredness of a small campus should be retained to the extent possible as the campus grows. Design should include workspace for graduate students and social spaces in which to build/reinforce community and maintain dialogue between and among faculty, grad students, and others.

Committee on Research (COR)
Minutes of Meeting
February 11, 2015

Pursuant to call, the Committee on Research met at 3:00 pm on February 11, 2015 in Room 362 of the Kolligian Library, Chair David C. Noelle presiding.

I. Chair's Report

Chair Noelle updated the COR members on the following:

--February 5 joint meeting of Division Council, CAPRA, and the Provost/EVC to discuss FTE allocations. The meeting is being held in response to CAPRA's requests for the release of a subset of foundational hires independent of the focus hires through the strategic academic focusing process.

The Provost/EVC stated that he believed the strategic academic focusing process is nearing completion and will soon be ready for the implementation phase. He will release some FTE lines, and he advised CAPRA to proceed with its traditional requests process. With regard to the focus areas, the Provost/EVC stated that he will make the decision on allocation but with CAPRA consultation. He added that the faculty who took leading roles in drafting the proposals for those focus areas will be expected to lead the effort to request focus FTE lines through his office.

Faculty members in attendance noted that there is no institutional structure to convene the faculty during their negotiations for focus area FTE requests or to serve as a conduit through which faculty members submit their requests to the Provost/EVC.

Faculty members were also concerned that only a small number of stakeholders would be involved (the lead authors of the original focus area proposals) and others may be marginalized.

In response to a question about whether faculty must provide 3-5 year strategic plans as they have in the past, the Provost/EVC confirmed that he has enough information in the current focus area proposals and does not require 3-5 year plans.

-- February 9 UCORP meeting.

The Governor is proposing a 4% increase in funding for UC campuses, but the increase is tied to increased enrollments of California residents. UCOP has pointed out that enrollment decisions are made on campuses, and admissions letters are being submitted in the next few weeks. Therefore, changing admissions procedures for the sake of the budget at this point is not feasible.

UCOP was to have implemented UC PATH, but this has been delayed.

Community colleges have proposed offering 15 B.A. degrees, spread among all campuses. However, community colleges are not prepared to offer upper division courses, and the CSUs are greatly impacted.

UCOP has empaneled a new committee to address transfer student challenges at the UC. There are many bureaucratic obstacles, including difficulties in determining the transfer of class credit from the previous institution. There is some concern among faculty that many students may receive the majority of their undergraduate education elsewhere and transfer to a UC in their final year.

There is no expectation that a portion of California's revenue surplus will be distributed to the UC, except perhaps the aforementioned 4% increase for enrollment of California residents.

UCORP heard reports from Senate leadership concerning interactions with members of President Napolitano's Innovation Council. While there is still some concern that these individuals do not have an appropriate

understanding of technology transfer within the context of higher education, Senate leadership was pleased at the patience, sincerity, and willingness to learn expressed by the members of the Innovation Council.

There was discussion on “reorienting” education, as some have suggested that the UC only offer upper division courses and have students complete their lower division work elsewhere. UCOP does not believe this reorienting proposal has much traction.

UCORP members discussed the fact that there are no substantial cost cutting efforts or metrics for improvement proposed for any of the large state funded programs, like K-12 and prisons, except for higher education institutions, including the UC.

State Senator Ricardo Lara (D-Bell Gardens) proposed that a constitutional amendment be placed on the 2016 ballot to strip the UC system of its historic autonomy and give the legislature authority over the UC. The UC is strongly opposed. Similar measures in the past have failed.

The Portfolio Review Group (PRG) has completed its deliberations on recommendations for continued funding for Multicampus Research Programs and Initiatives (MRPI). There was a solicitation for funds for MRPI and some awards were made for this cycle.

Due to a reduction in fees earned by the UC in 2014, the UC Lab Fees Research Program will not award grants this year. The program, which is funded by a portion of the fees the UC receives for its management of the Los Alamos and Lawrence Livermore National Labs, is unable to release a call for applications in 2015. The UC Lab Fees Research Program enhances partnerships between UC researchers and scientists at Lawrence Livermore National Laboratory and Los Alamos National Laboratory. These grants promote the development of projects and collaborations which advance the missions of the national laboratories at UC.

Investment in the commercialization of UC research products continues to be a topic of discussion. \$250 million is to be invested in an initiative which includes venture capital funds in the vicinity of UC campuses. This investment project includes efforts to provide funds to UC campuses to help “commercialize” UC research projects in return for using campus facilities.

Lastly, UCORP heard a presentation from the UC Division of Agriculture and Natural Resources (ANR). Among other functions, ANR manages research stations, funds 4-H programs, and funds scientists to provide area farmers with advice on crops. In addition, ANR supports non-Senate research faculty positions. ANR’s budget for supporting extension advisers has been reduced by half over the years and it is conducting a public relations campaign to raise awareness of the contributions of ANR and to forge systemwide collaborations that fully leverage ANR resources.

A COR member pointed out that UC Merced has ANR positions on campus and asked if they receive administrative resources.

ACTION: COR analyst will contact VCR Traina (absent from today’s meeting) for information on the funding of ANR positions.

II. Consent Calendar

ACTION: The January 28 meeting minutes were approved as presented.

III. February 12 joint meeting with Division Council, CAPRA, and VC Chancellor for Planning and Budget Feitelberg to discuss Project 2020.

Chair Noelle announced that Division Council and CAPRA members will hear a presentation from VC Feitelberg tomorrow on Project 2020 and academic space. Faculty are invited to attend the meetings with the pre-RFP teams when they visit campus to meet with stakeholders. These meetings are slated for February and March.

ACTION: Chair Noelle will provide a summary of this joint meeting at the February 25 COR meeting.

IV. Review of UC Merced Division Bylaws

Division Council has asked all Senate standing committees to review their relevant sections of the UC Merced Division Bylaws. COR previously submitted proposed revisions to its section of the bylaws in conjunction with proposing bylaws and membership for a library and scholarly communications committee.

COR members agreed on the following, additional revisions to the COR section of the Division bylaws:

--under Membership, revise the VCR's title to "Vice Chancellor of Research and Economic Development".

--under the second duty, strike "and library needs"

--under the third duty, revise the "Office of Research" to the "Office of Research and Economic Development".

--under the fourth duty, add "core facilities" after centers and institutes.

--Strike all language under the fifth duty and replace it with the current language under the sixth duty, as specified in the previous recommendation to establish a standing committee on library and scholarly communication.

ACTION: COR analyst to draft a memo with the aforementioned revisions and circulate to committee members for review. A final memo will be submitted to the Senate Chair.

V. Sponsored Projects Office Update

Chair Noelle was informed that Thea Vicari, Director for Sponsored Projects Services, is retiring. VCR Traina has asked for faculty participation in hiring a new director and welcomes faculty input on future directions of Sponsored

Projects. Chair Noelle asked COR members to be prepared to discuss this item at the February 25 COR meeting.

A COR member pointed out that some faculty find it difficult to file a patent under the new, restructured Office of Research and Economic Development. Committee members agreed that the VCR should evaluate how well the patent filing process is working now compared to how the process was conducted in the former technology transfer office.

ACTION: The Sponsored Projects future directions discussion and the discussion with VCR Traina on patent filing will be placed on the February 25 COR agenda.

VI. Senate Faculty Grants Program

In the last meeting, when discussing the process and criteria for this year's Senate faculty grants, COR members had various ideas, including 1) splitting money into pots for different purposes and 2) determining in advance how many awards will be allocated to each school. Under the latter plan, the school executive committees would be asked to provide a ranking according to COR's criteria, recommending about twice as many proposals as COR can fund, leaving COR with a small number of proposals to evaluate based, in part, on reviews given to COR by the schools.

A COR member suggested the need for a web form with objective criteria that PIs can complete. Other members recalled that COR had a difficult time last year deciding how to weigh each criterion. A lengthy discussion then occurred about the feasibility of asking school executive committees to participate in this year's grants program and the fear of imposing too great a burden on faculty at this point in the semester. A COR member suggested limiting the grants proposals to 3-5 page "specific aims" document.

COR members agreed on the following general process: 1) COR to review previous calls for proposals and draft revised criteria for evaluation of grants proposals; 2) ask the school executive committees to convene a committee

and evaluate faculty grants proposals using COR's criteria; 3) COR will receive the short-listed proposals from the schools and select the awardees.

ACTION: COR analyst to send previous GRC/COR calls for proposals to COR members to aid in the drafting of this year's call. At the February 25 meeting, COR will discuss how to weight the objective measures. The call for proposals will be submitted in mid-March, as per previous practice.

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



ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON RESEARCH
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February 25, 2015

To: Jian-Qiao Sun, Chair, Division Council

From: David C. Noelle, Chair, Committee on Research (COR)

Re: COR Revisions to Merced Division Bylaws

Per Division Council's request, COR reviewed its appropriate section of the Merced Division bylaws.

In addition to the revised bylaws COR submitted on January 16, 2015 (attached), COR suggests the following revisions to UC Merced Bylaw Part [II.III.7](#):

7. Research

A. Membership: This Committee consists of at least five members of the Merced Division. The Vice Chancellor of Research and Economic Development serves as ex officio.

B. Duties

1. Makes recommendations to the Division on the award of prizes to faculty for research.
2. Advises the Committee on Academic Planning and Resource Allocation, the Division, and the Chancellor on planning, management, and budgetary issues related to research, ~~and library needs.~~
3. Formulates a Senate position on all matters pertaining to research in the Division and acts for the Division in oversight of the Office of Research and Economic Development; makes recommendations to the Chancellor concerning applications by members of the Division for research grants and for travel expenses to attend meetings of learned societies; advises the Chancellor or Chancellor's designee

in matters relating to research policy; and determines policy pertaining to research funds allocated to the Committee.

4. Represents the Division in all matters relating to the review of Organized and Centralized Research Units, Core Facilities, centers, and institutes, ~~and core facilities~~, including proposals for and reviews of such units.

~~5. Acts for the Division in all matters of Library policy and administration, and advises the Chancellor or Chancellor's designee and the Division accordingly.~~

65. Acts for the Division in all matter of Research Safety policy and administration, and advises the Chancellor or Chancellor's designee and the Division accordingly.

cc: COR members
Division Council
Senate Office

DRAFT

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January 16, 2015

To: Jian-Qiao Sun, Chair, Division Council

From: David C. Noelle, Chair, Committee on Research (COR) *David C. Noelle*

Re: Proposed Bylaw Modifications for a Senate Committee on Library & Scholarly Communication

COR's memo to Division Council of November 24, 2014 (attached) encouraged the prompt creation of a standing committee on Library and Scholarly Communication. In response, Division Council requested that COR draft a formal proposal for the establishment of such a standing committee, addressing the committee's proposed charge and membership, as well as resource issues surrounding the staffing of the new committee. Such a proposal has been generated, taking the form of an itemized list of changes to the UCM Bylaws that would be necessary and appropriate for the establishment of a Committee on Library and Scholarly Communication (attached).

Specifications of standing committees in the UCM Bylaws do not regularly specify constraints on the number of meetings held by the committees during a given academic year, so no such requirements have been included in this proposal. It is worth noting, however, that COR does not expect this committee to meet more than about once per semester. This is consistent with the recommendation of the Academic Senate-Administration Library Working Group (LWG), as made in their Spring 2014 report (attached).

Also note that the membership of the proposed committee draws on expertise from existing standing committees, allowing input from the perspective of resource allocation, support for research, support for graduate education, and support for undergraduate education. This design of the membership is intended to minimize the need for additional recruitment of faculty to provide service to the Division.

cc: COR members
Division Council members
Senate Office

Modifications to the UCM Bylaws Proposed to Introduce a UCM Division Committee On Library And Scholarly Communication (COLASC)

- **Add this committee to the list of Committees on Educational Affairs:**

Part II; Title II; 3; B; 1; d: Library and Scholarly Communication

- **Modify correspondence to Assembly committees:**

Part II; Title II; 4; A: Academic Personnel, Committees, Library and Scholarly Communication, and Privilege and Tenure correspond to the Assembly committees of the same names.

Part II; Title II; 4; G: Research corresponds to the Assembly committee on Research Policy.

- **Remove library responsibilities from charge of Committee on Research:**

Remove Part II; Title III; 7; B; 5.

- **Add COLASC Description:**

Add Part II; Title IV; 4.

4 Library And Scholarly Communication

A Membership: This committee consists of at least four members of the Merced Division and two student members. Representation includes four individuals who are contemporarily members of the Committee on Research, Committee on Academic Planning and Resource Allocation, Graduate Council, and Undergraduate Council, respectively. The committee also includes one graduate student member and one undergraduate student member. The University Librarian and the Chief Information Officer serve as *ex officio*.

B Duties

- 1** Advises the Chancellor or Chancellor's designee and the Division regarding the administration of the University Library, in accordance with the Standing Orders of The Regents.
- 2** Makes recommendations to the Division on matters concerning the role of the University Library in the acquisition, storage, and provision of scholarly materials, as well as other resources for scholarly communication. These matters include, but are not

restricted to, the formulation of University Library policies, the management of the University Library, the University Library budget, the apportionment of related funds, and the allocation of associated space.

- 3 Maintains liaison with the administration of the University Library on behalf of the Division.
- 4 Prepares and submits to the Division an annual report on the status of the University Library, as well as related resources for scholarly communication.



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.