FY2017 RESEARCH COMMITTEE
FSRC Committee members
Members:

      Chair: Alexander Moise, Pharmacology & Toxicology (2018)
      Nyla Branscombe, Psychology, (2018)
      Ron Hui, EECS, (2018)
      Bozenna Pasik-Duncan, Math (2018)
      Yo Jackson, Applied Behavioral Sciences, (2017)
      Atanas Stefanov, Mathematics, (2017)
      Yvonnes Chen, Journalism (2017)
      Ivana Radovanovic, Anthropology (2019)
      James Thorp, Kansas Biological Survey (2019)
      Yan Bing Zhang, Communication Studies (2019)
      John Keating, Economics (2019)
      Diane Fourny, Humanities (2019)
      James W. Tracey, Vice Chancellor for Research
      Ex-officio: Rodolfo Torres, Associate Vice Chancellor Research
      Graduate Student Representative: Brent Lee

Charges: Approved by FacEx: June 1, 2016
               Approved by Faculty Senate: September 8, 2016

Standing Charges:

1. Monitor the administration of the General Research Fund (GRF) and make recommendations, as needed, to ensure its effectiveness and appropriate utilization. Report to FacEx concerning actions taken with respect to this charge by 03/05/19. (FY2019 3 year GRF Review).
2. Monitor the execution of the University's Restricted Research Policy (Faculty Senate Rules and Regulations, Article IX) in handling requests for exceptions.
3. Serve as the body to hear faculty appeals of research rejected by the restricted research committee or by the Vice Provost for Research, as specified in the Restricted Research Policy.
4. Monitor the implementation of policies and procedures for determining which proposals will go forward in cases where the number of grant applications that may be submitted from the University is limited. Identify problems or concerns, and report issues and recommendations to FacEx.
5. Continue working with the ACEC (Academic Computing and Electronic Communications) Committee to process needs for and issues with computing and telecommunications for research, including recommendations for sustainable policies and procedures and monitoring ongoing and new developments in IT. Report issues and recommendations to FacEx as needed.

Specific charges:

1. Determine a method for GRF allocations that helps overcome a perception of disparity among units, that enhances a more effective way to use the fund, and that is more dynamic and responsive to changing disciplinary research contexts within and outside the University.
2. Investigate and report on the extent to which the University is using Academic Analytics to gather data or evaluate departments, programs, or faculty. Explore how these metrics are impacting faculty research, research opportunities, or the understanding of faculty research profiles at KU. Research and report on publically available information about other institutions' experience with Academic Analytics.

3. Revise the 2016 committee's survey questionnaire for evaluating PRO to include Libraries as an academic unit. Consider whether to revise the survey to include questions about the use of Academic Analytics or other internal or external systems for evaluating faculty research. After revision, use the questionnaire to collect data for FY 2016-17.
4. Investigate and report on how entrepreneurship activities are used in evaluating faculty productivity in each academic unit. Consider whether unit policies are broad enough to include, not only faculty who create businesses or patents, but also those who provide services. Provide a report and make recommendations regarding how evaluation processes might be improved in the future.

The following report documents FSRC activities in 2017-2018:

Standing Charge 1. Monitor the administration of the General Research Fund (GRF) and make recommendations, as needed, to ensure its effectiveness and appropriate utilization.

A request was received by FSCR from Prof. Mielke on March 6th, 2017 regarding a request for a reallocation of the leftover GRF funds from behavioral science to social science based on the GRF guidelines: "Surplus funds can also result when an entity has an insufficient number of worthy applications… The FSRC wishes to review, on a case-by-case basis, requests that excess funds be used to fund worthy proposals submitted by faculty in a different entity."

March 6, 2017

Professor Alexander Moise
Chair, Research Committee, FSRC

Dear Professor Moise,

The College of Liberal Arts and Sciences Behavioral Sciences GRF committee finalized their review of proposals last week. They were very diligent in doing so and, as a result, there are now some funds left over that were not allocated. I would like to request that the unallocated funds (totaling $7,599.44) be transferred to the Social Sciences allocation.

Eight researches in the Social Sciences have requested a total of $86,068. The amount allocated, as you know, is $63,629. By adding the $7,599.44 to the current allocation, the committee will be able to fund either: (1) an additional worthy proposal(s) or (2) fully fund the truly worthy ones without making selective cuts to the individual budgets.

Thank you for offering to have your committee review our request.

Jim Mielke

The FSRC discussed the request by email and responded as follows:

Dear Dean Mielke,

The FSRC committee considered your request and agreed that the reallocation of leftover GRF funds from Behavioral Science to Social Science is reasonable and agreed with the idea of having these funds re-allocated if both units are in agreement that it is a "one-time" reallocation (for 2017 only)

The only questions that came up are more in line with the process and perhaps these questions could also be answered by KUCR. Was the availability of leftover funds made public to inform any other underfunded GRF units? Are there any good reasons why Social Sciences were considered for funding as opposed to other GRF units.

If you or KUCR could offer some reasonable explanation of the process that was followed that would help set a record for this decision.

Thank you very much,

> *Alex Moise*

To which Dean Mielke replied:
> *Dear Alex,*
>
> *Thank you so much. We appreciate your decision and especially how quickly you were able to give us an answer.*
>
> *I can answer part of your two questions:*
>
> *The College is divided into divisions, e.g., Humanities, Natural Sciences & Mathematics, and Social & Behavioral Sciences (SBS). Before I became the "contact dean" for the Social & Behavioral Sciences, the GRF funds for the SBS had been divided into two allocations; one for the Social Sciences and one for the Behavioral Sciences. I do not know the history or origin. So, the funds have been sent to the College by KUCR this way at least since 2008 (but probably since KUCR started allocating GRF funds?). KUCR may have records. So, we thought it made good sense to reallocate within the SBS division.*
>
> *We are going to start a discussion within the division, and probably more broadly within the College, about whether we should maintain or change the way the allocation and review of GRF proposals is currently done. I will keep you and your committee updated as we move forward.*
>
> *Thank you again for allowing us to shift these funds from Behavioral Sciences to Social Sciences this year.*
>
> *Jim*

Recommendations:
- **CLAS inquired with regards to the process of amalgamation of GRF units of behavioural and social as it would eliminate potential underutilization of GRF funds, it would be advisable for the College to consider doing this for the next fiscal year.**
- **Though, the funds allocated to each Unit are generally used in their totality, there have been occasions when a Unit has had left over funds. The existence of such funds could be made public for other Units to request additional funds to fund deserving proposals. In the case here, it was decided to allow CLAS to reallocate the funds to another Unit within CLAS but there could be the case that underutilized GRF funds should be made available to other Units across the campus in the future.**

Specific Charge 1. Determine a method for GRF allocations that helps overcome a perception of disparity among units, that enhances a more effective way to use the fund, and that is more dynamic and responsive to changing disciplinary research contexts within and outside the University.

- The FSRC reviewed carefully the Review of GRF FY13-FY15 report presented by Prof Rashid, former chair of FSRC in 2016 and discussed at length the current disparities in GRF allocations during the October 26, 2016 meeting.
- As indicated in the Review, the FSRC found little explanation for the current allocation model that accounts for the disparities evident in the allocation of GRF to various units.
- Importantly, the current allocation varies dramatically in terms of the funds allocated per number of eligible applicants in each unit. For example, The amount allocated per number of faculty ranges from $110.7 per faculty in Behavioural Sciences to $981.5 per faculty in Life Sciences (see Figure 3, reproduced here from the Review of GRF FY13-FY15 report by Dr. Mahbub Rashid)

Figure 3: GRF allocations per faculty by GRF units
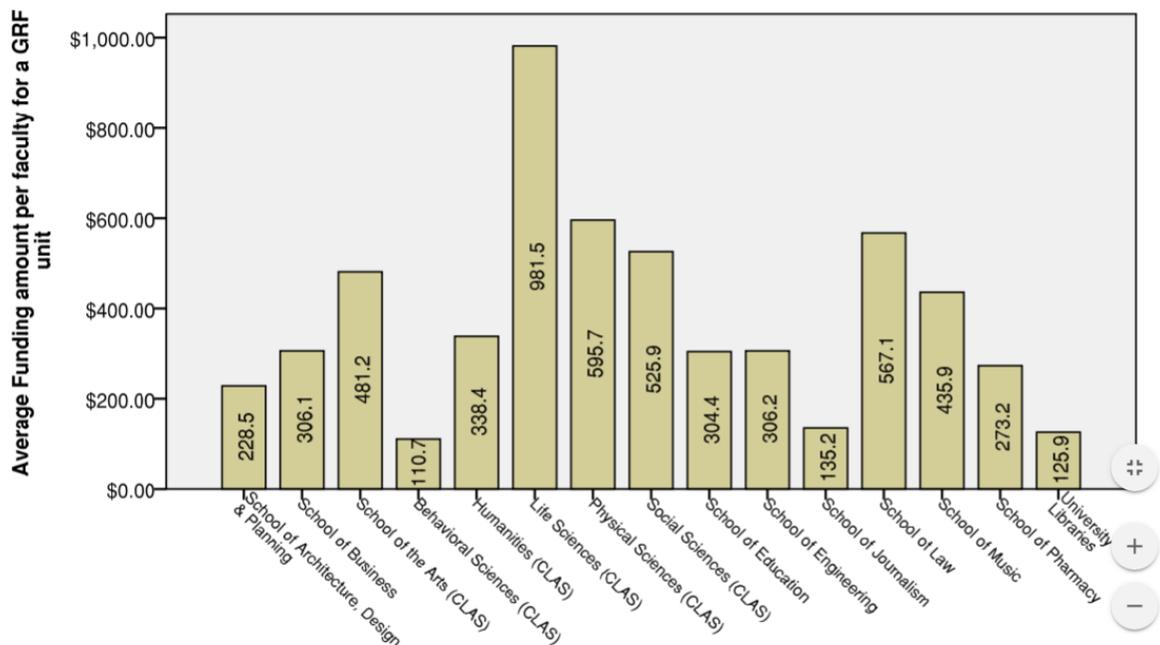
- **Proposal 1, FSRC discussed a way to mitigate the per capita disparity is to distribute the funds in accordance to the number of faculty or other eligible applicants in each unit (example: a unit of 20 faculty will received twice the amount allocated to a unit of 10 faculty). This is the easiest to justify allocation model.**

- Below is a table indicating what the allocation of different GRF units would look like if it were to be based on the number of faculty in each unit. Source data from FY13-15 is attached.

Departments	Current FY16 Budget	Number of faculty in unit	GRF allocation of unit divided by number of faculty in unit	What GRF allocation of unit would look like if based on number of faculty in unit (Proposal 1) *	Fold-change of allocation based on Proposal 1
Architecture & Urban Design	17,596	77	228	28,563	1.62
School of Business	41,023	134	306	49,707	1.21
School of the Arts	33,200	69	481	25,596	0.77
Behavioral Sciences	27,089	248	109	91,996	3.40
Humanities	107,614	318	338	117,962	1.10
Life Sciences	99,127	101	981	37,466	0.38
Physical Sciences	90,549	152	596	56,384	0.62
Social Sciences	63,629	121	526	44,885	0.71
School of Education	27,395	90	304	33,386	1.22
Engineering	42,254	138	306	51,191	1.21
Journalism	4,016	27	149	10,016	2.49
Law	23,251	41	567	15,209	0.65
Music	29,642	68	436	25,225	0.85
Pharmacy	19,671	72	273	26,708	1.36
University Libraries	6,044	48	126	17,806	2.95
	632,100	1,704			

- * If the GRF allocation of unit were to be based on the number of faculty in unit (Proposal 1) the GRF allocation divided by number of faculty would be $370.9 in all units

- Though the allocation to most units would not change by much, a redistribution put forth in Proposal 1 would result in significant increases in the allocation to some Units such as Behavioral Sciences and Journalism, while causing a significant reduction to Life Sciences
- *It was pointed out that such a method may disadvantage applicants whose academic output requires a much larger initial investment of resources to result in a discernible product, such fields including Pharmacy, Life Sciences and Engineering.*

- **Proposal 2 was also meant to alleviate some of the disparity and allow funding deserving proposals from Units by creating a reserve fund. In this case, GRF funds could include the allocation of a reserve fund which will be used to award grants in a competition open to all units and which will be evaluated by an institutional review panel representing all units such as the FSRC. This allocation will serve to supplement and include funding to additional meritorious proposals from any eligible applicant beyond the levels specifically allocated to the respective unit.**
- **Proposal 3: Finally in recognition of the wide variety of resources required by proposals in different field a simple solution would be that GRF funds should be allocated in accordance to the existing research expenditures of each unit. This approach simply supplements existing research funds in each unit by a fixed percentage across the campus.**

Recommendations:

Since the current GRF allocation bears little correlation to either number of faculty or total research expenditures available to each GRF unit, it would be imperative for the FY2018 to reevaluate the allocation and revisit the method used to allocate GRF in light of these parameters. FSRC made several proposals for the allocation of GRF (vide supra) of which Proposal 1 received the most support. Small reallocations to increase the funding that goes towards the units receiving the least amount of funding/capita should be discussed.

Though the accomplishments of each GRF award are available to each Unit, the FSRC does not receive any cumulative reports of the impact of GRF funding from a Unit and therefore the FSRC does not have any data to support reallocation of GRF based on maximizing return on investment. This is also an area that could be explored in measuring the impact of GRF.

The Review of GRF FY13-FY15 report (see Dr. Rashid's FY2016 FSRC report) noted that research productivity, and research efforts appear to show some correlation with GRF allocations. It was not clear if this is simply a result of the initial GRF allocation being made to more successful programs or reflecting historically more productive programs. The FSCR recommends 1) investigating how much of each Unit's total research expenditures are based on GRF and 2) allowing for a longitudinal monitoring of the impact of a change in a specific Unit's GRF allocation on the future research output of this Unit.

Specific Charge 3. 1.Investigate and report on the extent to which the University is using Academic Analytics to gather data or evaluate departments, programs, or faculty. Explore how these metrics are impacting faculty research, research opportunities, or the understanding of faculty research profiles at KU. Research and report on publically available information about other institutions' experience with Academic Analytics.

The FSRC committee reviewed documentation and discussed the potential impact of AA on faculty research on campus. The committee felt that the AA data could be very useful in exploring new research funding opportunities and identifying faculty that could potentially be nominated for specific fellowships and awards. The only concern is with regard to the completeness and accuracy of data employed by AA and it is important that departments regularly verify the type of information used by AA in ranking their department.

Specific Charge 3. Revise the 2016 committee's survey questionnaire for evaluating PRO to include Libraries as an academic unit. Consider whether to revise the survey to include questions about the use of Academic Analytics or other internal or external systems for evaluating faculty research. After revision, use the questionnaire to collect data for FY 2016-17.

- The FSRC revisited and revised the 2016 committee's survey questionnaire for evaluating PRO to include Libraries
- FSCR felt that the previous survey of AA analytics carried out in FY15 answered most of the same questions and there is no additional value in surveying how AA is used in evaluating research.
- The Survey was deployed in March, 2017 by Kathy Reed of University Governance to all Lawrence Campus Administrative heads, Chairs and Deans
- The survey was closed in two weeks and Kathy Reed compiled the data on March 30th, 2017
- The results of the PRO Survey for FY2016-17 are appended here.

Q2 - Please Identify your unit in the university:

#	Answer	%	Count
1	Architecture, Design & Planning	4.55%	2
2	Business	6.82%	3
3	Education	4.55%	2
4	Engineering	13.64%	6
5	Music	2.27%	1
6	Journalism & Mass Communications	2.27%	1
7	Law	2.27%	1
8	CLAS-International & Interdisciplinary Studies	0.00%	0
9	CLAS-Humanities	6.82%	3
10	CLAS-Natural Sciences & Mathematics	18.18%	8
11	CLAS-Arts	4.55%	2
12	CLAS-Social & Behavioral Sciences	20.45%	9
13	Libraries	6.82%	3
14	Pharmacy	6.82%	3
15	Social Welfare	0.00%	0
	Total	100%	44

Q3 - How often do you use the PRO system for departmental business?

#	Answer	%	Count
1	Never	26.67%	12
2	Once a Semester	51.11%	23
3	Less than Once a Month	4.44%	2
4	Once a Month	6.67%	3
5	2-3 Times a Month	6.67%	3
6	Once a Weeek	2.22%	1
7	2-3 Times a Week	2.22%	1
8	DAILY	0.00%	0
	Total	100%	45

Q4 - What specific task do you use Pro (Check all that apply)

#	Answer	%	Count
1	Annual Review of Faculty Performance	61.36%	27
2	Response to query from Dean's Office or other administration office	18.18%	8
3	Departmental review or accreditation report	22.73%	10
4	Requests fro faculty CV's	27.27%	12
5	Track and monitor grant-related funding	11.36%	5

6	My use of PRO not on this list-add comment	20.45%	9
7	I do not use PRO as part of my role as Chair	22.73%	10
	Total	100%	44

- *My use of PRO not on this list-add comment*
- *My use of PRO not on this list-add comment*
- *tenure and post tenure reviewsn*
- *To prepare my own annual review materials for the Dean.*
- *Business and industry engagement*
- *Only when absolutely required and no other alternative is available*
- *Only use as last resort when related to Dean's office needs*
- *I submit my own evaluation for the Dean through PRO; I ask faculty to send me their PRO reports for annual evaluation*
- *applications for profesisonal organization positions; nominations for awards*
- *Promotion & Tenure Considerations*

Q5 - In general, how helpful have you found PRO to your role as department chair?

#	Answer	%	Count
1	Very Hepful	9.76%	4
2	Somewhat Helpful	21.95%	9
3	Neutral	21.95%	9
4	Somewhat Unhelpful	17.07%	7
5	Very Unhelpful	29.27%	12
	Total	100%	41

Q6 - How migh PRO be changed or adapted to:

#	Answer	%	Count
1	Improve faculty research productivity?	50.00%	6
2	Identify Research opportunities?	8.33%	1
3	Better understand faculty research profiles?	33.33%	4
4	Facilitate the dissemination of faculty research	8.33%	1
	Total	100%	12

Q6_TEXT - How migh PRO be changed or adapted to:
1 - Improve faculty research productivity?

- *compute h-index*
- *I don't see it helping me with any of these functions*
- *It is unclear to me how PRO can help improve faculty research productivity. It's a record keeping and analytic tool. To my knowledge, no one has made any decisions based on PRO data or the analytics that come from them.*
- *Entirely eliminate it. The need to keep certain parts up-to-date for adminstrative "surveillance" is a waste of my time. It is not useful to "Identify Research opportubnities". I identify research opportunities through reading papers, attending conferences, and talking to colleagues. Twitter is of more use for this. "Better*

understand faculty research profiles?" Yes. You can connect PRO to departmental webpage. You can also just directly update webpage. The latter is easier.

- *This concept is delusional.*
- *Make it easier and more intuitive to enter unit-specific information. Make it more flexible in its output to allow for customized personal CVs, plus CVs for department/college/university CVs. Almost every unit on campus has different styles and information they include on their CVs, and trying to have a single solution that fits every unit seems unreasonable.*

2-Identify Research opportunities?

- *If key words were used in identifying grant and research opportunities, faculty might better identify possible funding.*

3-Better understand faculty research profiles?

- *I belive it already does that, when used in the context of the new Experts@KU interface.*
- *For my graduate program, I do not evaluate faculty performance, but I am looking for ways to assess faculty productivity. It would be great if we were also linked up with KUMC so cross-campus programs could access that data*
- *Facilitate the dissemination of faculty research*
- *Facilitate the dissemination of faculty research*
- *link to KU ScholarWorks to facilitate deposit of articles*

Q7 - Please offer any comments or feedback regarding your experience with PRO and how it might better serve you in your role as chair.

Please offer any comments or feedback regarding your experience with PRO.

- *Given the small size of our faculty, I am aware of their research, teaching, and service activities. Their regular vita is sufficient for our departmental tasks. PRO is a drag for faculty. Some don't update their profiles. We have staffers do it for them.*
- *I have been in contact with Amanda Kulp to add some sections that may be helpful for our department. She is helpful and knowledgable about PRO, but most faculty in my departmet do not like using PRO.*
- *Given that the CLAS Deans use the PRO data annually to evaluate departments, I require that faculty in my department enter their annual report data into PRO. However, many faculty members complain terribly about how much longer it takes to enter data into PRO than it would to simply generate a CV. And, to my knowledge, no one in my department uses PRO to generate their professional CV, so they must enter/keep all of their data in two places.*
- *The only purpose for PRO, in my view, is to provide the central administration of KU a full list of faculty members' publications. The CVs generated by PRO are unsuited to either our department evaluation process or to produce CVs that our faculty members would use for their own purposes.*
- *I see this as a faculty reporting tool. It's changed how I gather information but still depends on faculty maintenance of their information. I would like to be able to look at value versus cost.*
- *Well, I just answered the previous four questions about how PRO might be changed/ adpated by suggesting a 5 year moritorium on new/revised software at KU. I also answered that the second through fourth questions are insulting to research-productive*

faculty members. Come on, are we children? Then, when I tried to go on, this Qualtronics software won't allow me to answer all four questions. Par for the course.

- *Edwards based faculty have a greater need to track engagement with business and industry. Community engagement. These are teaching faculty and need a tool that can better reflect their time working with advisory boards, community organization, industry partnerships, workforce development, etc. This tool does not easily allow for such.*
- *the PRO system is a duplication of the processes we use to assess faculty and do not add anything.*
- *To the extent that faculty keep their records up to date, it can work to help document grants and publishing and can be more useful to summarize the departments activity than doing our own summaries from CVs*
- *Scientists associated with research centers have been encouraged to put CVs on PRO, but center directors have not had the occasion to use the analytics that come from them.*
- *BTW I'm DGS for Molecular Biosciences, probably not who you were targeting with this email. I completed the form because I hate PRO, everyone in my department hates PRO, and as far as I can tell its only used when required. Stop spending money on it, and eliminate it.*
- *This concept is delusional.*
- *Faculty tend not to enter accomplishments into PRO until they prepare their annual reports, so it can be difficult to gauge faculty productivity in real time. Personally, I have trouble with the current projects section. If I get a paper or publication or performance accepted, I just upload it under resesarch with the dates. Otherwise, I have to delete it when it is no longer current. My understanding is that it stays in the "current projects" record unless I manually delete it. For some faculty, using PRO will never be anything other than a constraint, but they have accepted it as a necessity. It's the input process that frustrates them, because they prefer to simply add to a Word doc to maintain their CV.*
- *Our faculty keep cvs in a format that is consistent with their individual field. They can copy and paste whatever they need in a word processor. PRO is clunky and time consuming. I told them to do it but they hate it.*
- *PRO is a very clunky system. It generally doesn't display infromation in an easy to grasp format. Faculty have to spend a tremendous amount of time entering information and then an incomprehensible report is generated. I could easily get the information I need in a much quicker and more usable format. I would rather my faculty spend time doing research than entering information in PRO.*
- *I want to be clear that I will be using PRO in the near future, and recently attended the workshop for chairs on this. The primary reason I have not used it since we initially set it up is a lack of time to learn something new. My unit has been without a staff person for a year and my work as chair is likely doubled as a result. I tried to use PRO for faculty review last year but had login problems so gave up. Hopefully the new updates will make PRO more user friendly. Thanks.*
- *Instead of helping PRO adds an additional and burdensome layer of work to me and to our faculty. I find it extremely useful for the faculty to maintain their CV's and biosketches up-to-date themselves, without the on-line system which can't possibly take into account all pertinent info*
- *I am a Director of Graduate Studies, not a Department Chair. I have not found any uses for PRO in my role as DGS.*
- *Just don't use it. That's how you make it better.*

- *Our faculty spend hours entering data into PRO, then hours "fixing" the PRO output to meet our departmental needs - If it was easier and more intuitive to correctly enter in our unit-specific information, and more flexible to generate customized CVs for general use, CVs for annual evaluations, and CVs for P&T, then it might be useful. Right now, it doubles the amount of work we need to do and everyone hates it.*
- *PRO should be scrapped for annual review (the only thing we use it for). We take information from our CVs, enter clumsily into the Pro system via confusing and cumbersome dropdowns, and eventually have PRO print out a poorly formatted version of our original CV. It is a waste of time and useless.*
- *It's usefulness is only as good as the data faculty enter*
- *There's been a LOT of whining about the use of PRO. Faculty (and chairs) need to grow up and get back to work. PRO can be a great tool if faculty will use it.*
- *Somehow get faculty to stop complaining about it!*
- *Pro is difficult to use, actually viewing your document, checking for accuracy, and redundant with paper-based information*
- *PRO is only focused on tenure-track positions and does not meet the needs for non-tenure track faculty.*
- *get KUMC data in the system*