

The Faculty Senate Research Committee

Final Report

Academic Year 2022-2023

Co-Chairs: Joshua Roundy (CEAE), Meredith Bagwell-Gray (Social Welfare)

Members: Angela Rathmel (Libraries), Rick Dobrowsky (Pharmacology and Toxicology), Mike Blum (Geology), Craig Jendza (Classics), Blake Wilson (Law Library), Michael Engel (Ecol &Evol Bio/Nat Hist Biodiv), Satya Mandal (Math), Dorice Elliott (English), Linda Stone-Ferrier (History of Art), Celka Straughn (Spencer Museum of Art), Neal Kingston (Educational Psychology)

Ex-Officio: Simon Atkinson (Vice Chancellor for Research), Candan Tamerler Behar (Associate Vice Chancellor Research)

Overview

During the academic year 2022-23, the Faculty Senate Research Committee primarily focused on our charge to monitor the administration of the General Research Fund (GRF) and make recommendations, as needed, to ensure its effectiveness and appropriate utilization. The committee developed and submitted a recommendation to the FacEx Committee in October 2022. We presented a new GRF recommendation to the Faculty Senate in December. Based on feedback from some faculty at the Faculty Senate committee meeting, the FacEx Committee decided not to adopt the committee's GRF recommendation nor bring the recommendation to a vote in the Faculty Senate. Instead, they requested that the Faculty Senate Research Committee develop a survey to determine whether the faculty would like to see the GRF changed with the question, "Is there a charge from the faculty to change the current GRF allocation model?" The committee then created and submitted a survey to FacEx in April 2023.

Summary of Work

The following is a concise list of all meetings, events and significant dates that involved the Faculty Senate Research committee during the 2022-23 academic year.

October 7, 2022, 4-5pm: Discussed the committee charges and focused discussion on the GRF allocation and the work accomplished by previous years committee. Brought forth several recommendations for the GRF allocation. Set the next meeting date for October 11 with a goal to vote on a formal recommendation. See Appendix 1 for summary slides from the meeting.

October 21, 2022, 4-5pm: Discussed all proposed recommendations and voted on a final recommendation. The final recommendation, which was supported by a majority vote (11 yes; 1 no; 1 abstention), was to reallocate the GRF funds based on the size of the unit, with size being indicated by number of individuals in each unit with PI status. It was also recommended that the change occur over a three-year period in order to provide a smooth transition. See Appendix 2 for summary slides from the meeting.

October 31, 2022: The final GRF recommendation was submitted to FacEx. See Appendix 3 for the submitted document.

November 8, 2022, 3-4pm: Josh Roundy had a meeting with FacEx to discuss the recommendation and answer questions about the committee's work. FacEx was mostly supportive but expressed concerns that the recommendation would result in a substantial change for some units. As a result, FacEx recommended that the GRF recommendation be shared with the broader community at the Faculty Senate Meeting on December 8th.

December 8, 2022, 3:15-5pm: Josh Roundy and Meredith Bagwell-Gray presented the recommendation to the Faculty Senate. Most of the feedback centered on concerns about cuts to specific units perceived to have a greater need (Arts and Humanities) and giving more to units that are perceived as having less need (Engineering, Business and Pharmacy). Well-founded arguments were given for and against the recommendation. See Appendix 4 for the presentation slides.

February 21, 2023, 3:15-5pm: Josh Roundy and Meredith Bagwell-Gray met with the FacEx committee and discussed the results from the December 8th meeting as well as other feedback that

they had received from the faculty. Based on this feedback, FacEx rejected the committee's recommendation for the GRF on the basis that there was not broad enough support for the change from the Faculty Senate. They also recommended that the committee develop a survey to assess if the faculty would be open to change in the GRF in the future.

March 10, 2023, 4-5pm: The committee met and discussed the recommendation from FacEx to draft survey questions that would be sent out to all faculty members. After discussion, the committee decided that it would be best to keep the survey short and settled on two questions about changing the GRF. The first question was based on understanding if the faculty wanted to see the GRF allocation change. The second question asked if they think the GRF should be re-centralized and administered by the Office of Research with oversight from the Faculty Senate Research committee. See Appendix 5 for the final version of the survey created by the committee.

April 17, 2023: After revisions and feedback, the final version of the survey was submitted to FacEx for review.

Recommendations

Based on the work completed this year, the committee has the following recommendations to be considered for next year.

GRF Allocation Survey: Although the survey was submitted to FacEx, it is unclear if the survey will run this academic year or not. It will be the responsibility of next year's committee to ensure that the survey is sent out to the faculty. Once the survey is complete, the committee should analyze the results and submit new recommendations based on the data. If the faculty are open to changing the GRF, then it is recommended that the committee develop a new recommendation using the previous recommendation as a starting point. If the survey indicates that the faculty are not open to changing the GRF, then the Faculty Senate should reconsider the standing charge of the Faculty Senate Research Committee to evaluate the use of the GRF and make recommendations for its allocation. Furthermore, the purpose and function of the Faculty Senate Research Committee should be re-envisioned so as not to perpetually perform futile GRF review.¹

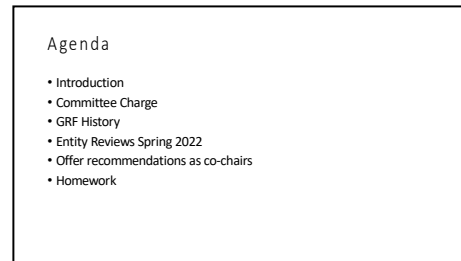
School of Professional Studies: The committee was contacted by John Bricklemeyer, Associate Dean of the School of Professional Studies (SPS) on the Edwards Campus, inquiring on how the SPS can be included in the GRF distributions for FY24. The idea of adding the SPS to the GRF allocation was discussed with Simon Atkinson, Vice Chancellor for Research, who expressed support for the idea. However, this would need to be recommended through the committee and passed to FacEx and ultimately approved by the Faculty Senate. This request was received after the committee had their last meeting. Therefore, it is recommended that next year's committee take this on and incorporate it into future GRF allocation recommendations.

¹ Historical documents show that the FSRC has been making recommendations for changes to the GRF since 1996 (see, for example, "History of the GRF and New Faculty GRF, 2002" and "Fiscal Year 13-15 GRF Review Final Report with Charts"). The current allocation is still based on the 1993 allocation, but FSRC recommendations to change the allocation based on its 3-year review have been consistently restrained and dismissed.

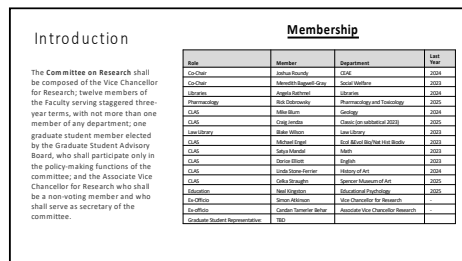
Appendix 1: Slides from the October 7, 2023 - Committee Meeting Slides



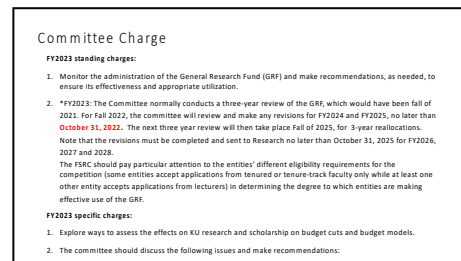
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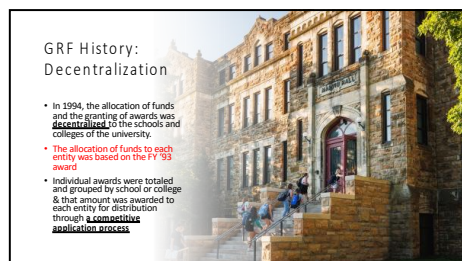
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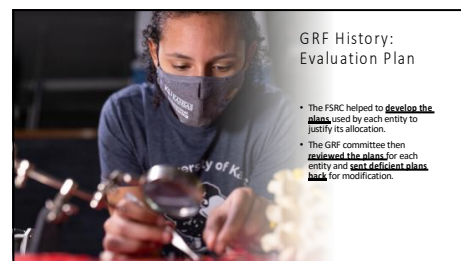
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GRF History: Evaluation Process

- In 1996, the GRF committee compiled summary information from each entity regarding their use of GRF funds.
- This summary information was then compared to the goals determined at the outset by each entity.
- The committee then determined the allocations for next 3-year period based on entity review. Not allowed to change by more than 10%.

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Entity Reviews Spring 2022

Summary of Key Findings


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Allocation for FY2023


Entity Dept.	18% Budget Cut	FY23 Approximate Allocation
Architecture & Urban Design	1,103.66	16,232.76
School of Business	1,692.07	13,239.63
School of the Arts	2,168.00	26,861.00
Behavioral Sciences	2,438.01	21,942.09
Biomedical	9,885.36	81,247.26
Life Sciences	8,921.43	80,292.87
Physical Sciences	8,149.41	73,344.69
Social Sciences	1,716.61	11,235.49
School of Education	2,465.55	21,189.95
Engineering	4,289.36	38,662.22
Environmental	797.46	7,276.59
Law	2,002.19	18,893.21
Music	2,647.79	24,652.02
Pharmacy	1,770.39	15,883.51
Social Welfare	762.77	6,864.94
University Libraries	1,490.20	13,107.88

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Reporting Tool for Review of GRF 2019-2021




Faculty Members Eligible for GRF



GRF Accomplishments

Peer-reviewed publications
Peer-reviewed conference presentations
Peer-reviewed creative projects or products
Proposals submitted to external funding
Proposals received external funding
Other important GRF-related outcomes



Schools' and Colleges' Reports

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Co-Chair Recommendations

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Co-Chair Recommendations

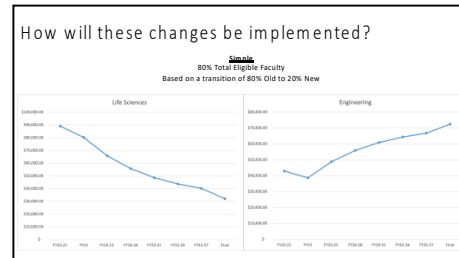
These recommendations should be seen as a starting point and are open to change.

Decision	Recommendation
Should the GRF Allocations be changed?	Yes
What should be the metric used to determine the new allocations?	Option 1 (Simple): The new allocation should be based on Total Eligible Faculty. Option 2 (Complex): The new allocation should be based on Total Eligible Faculty (80%), Total Relative Accomplishments (10%) and Total Relative Need (10%).
How should the new allocations be implemented to ensure a smooth transition.	The new allocations should be implemented at a rate of 80% (Old Allocations) and 20% (New Allocations).

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Homework

Your assignment is to think about and explore how best to allocate the GRF money and come ready to discuss and vote for a solution at our next meeting on October 21st.

- Current Options
 - Option 1 – Simple, based only on TEF
 - Option 2 - Complex, based on TEF (80%) + TRC (10%) + TRN (10%)
 - Other change options to add to ballot?
 - No change

If you are unable to attend the October 21st meeting, please let us know and we will arrange a time for you share your input before the meeting and then give you an opportunity to vote for after the meeting.

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New Allocation Tool

We have created an Excel Tool for you to use and explore options.

Projections Tab

In this tab you can change the weight of old and new allocations and look at Projected Allocations for Each Department.

New Allocations

In this tab you can change the weight of individual metrics and compare the new allocations to the old allocations.

Metrics

In this tab you see the input data and calculated metrics used for the allocations.

If you need help or would like to add a different metric, please email me (lkroundy@su.edu) and I will help you get it setup.

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Questions? Comments?

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Thank you!

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Appendix 2: Slides from the October 21, 2023 - Committee Meeting Slides



1

Agenda and Schedule 10/21/2022

- Discuss Options (Today during meeting)
- Voting (Vote via Google Form) – Voting due by end of the day Monday October 24th.
- Write-up – We will put together an initial write-up and will post it to the Teams site by end of the day Thursday October 27th.
- Comments – Comments and revision will need to be added by end of the day Monday October 28th.
- Submit Recommendation – Tuesday October 29th.

2

Voting

I will send out a link for everyone to vote after our meeting today.

Question 1:

Do you think we should change the current GRF allocations?

Question 2:

If we do change the allocation, which option do you think the new allocation should be based on?

Option 1 -

Option 2 -

...

Question 3:

At what rate should the New Allocation be implemented during the transition period?

5% (Slow) – 100% (Fast)

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Should we change the current GRF Allocation?

For

Against

4

How should the new Allocation be derived?

Option 1

Option 2

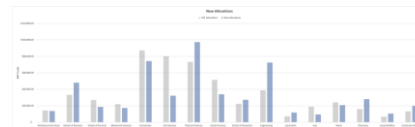
Option 3

Other?

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Option 1 – Based on Eligible Faculty

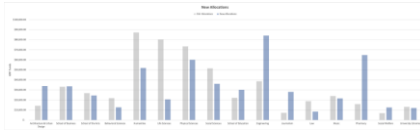
The idea is that the unit should receive its allocation based on the total number of Eligible Faculty for the GRF award. This is motivated by the fact that we are an R1 institution and every unit should be engaged in research and that as units evolve the GRF fund should change proportionately. Allocations are directly proportional to the TEF metric.



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Option 2 – Based on TEF (50%)+TRC (50%)

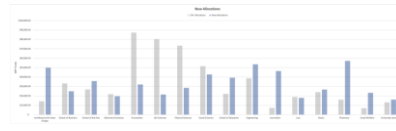
The idea is that the unit should receive its allocation based on the total number of Eligible Faculty and how productive the unit is with the money they have received. This tries to balance unit size with unit productivity. The allocation is calculated directly from the combined TEF and TRC metric.



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Option 3 – Create Competition (Rick Dobrowsky)

The idea is to stir competition toward meeting unit-defined measures as quantified by the TRC. This is done by creating a two-tiered system based on TRC where the top tier gets 2/3 of the total and bottom tier gets 1/3. Within each tier it is broken down by 16%, 15%, 14% ... 9% of the tier pot based on the TRC ranking.



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At what rate should the new allocation be implemented?



9



Thank you!

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Appendix 3: Final GRF Recommendation to FacEx

To: To University Governance

From: The Faculty Senate Research Committee

- **Co-Chairs:** Joshua Roundy (CEAE), Meredith Bagwell-Gray (Social Welfare)
- **Members:** Angela Rathmel (Libraries), Rick Dobrowsky (Pharmacology and Toxicology), Mike Blum (Geology), Craig Jendza (Classic), Blake Wilson (Law Library), Michael Engel (Ecol &Evol Bio/Nat Hist Biodiv), Satya Mandal (Math), Dorice Elliott (English), Linda Stone-Ferrier (History of Art), Celka Straughn (Spencer Museum of Art), Neal Kingston (Educational Psychology)
- **Ex-Officio:** Simon Atkinson (Vice Chancellor for Research), Candan Tamerler Behar (Associate Vice Chancellor Research)

Subject: Recommendation on changes to the GRF Allocation

Background: Prior to 1994, GRF awards were determined at the University level. In 1994 the distribution of GRF funds was decentralized and individual units were allocated a share of the GRF and allowed to use the funds to support research in their respective unit with oversight from the Faculty Senate Research Committee. The original GRF allocation to individual units was based on the GRF awards from the previous year and has remained unchanged since the original decentralization of the GRF in 1994. As a committee, we by majority agree (12 yes; 1 no) that there is no basis for staying with the historical formula for GRF allocations. We ground our recommendation primarily in the argument that there has been change across the University in the past three decades, and the current allocation model does not reflect this change. We also considered the changing power of the dollar and the decrease in GRF funding as a part of university-wide budget cuts as we carefully re-examined the allocation method.

Recommendation: The committee makes following recommendations, which was supported by a majority vote (11 yes; 1 no; 1 abstention).

- Reallocate the GRF funds based on the **size of the unit**, with size being indicated by number of individuals in each unit with PI status (that is, those who are eligible to be a PI and conduct research with the GRF and would therefore benefit from it; see Figure 1). Note: PI status does not consider if an individual has been, or is currently, a PI on a grant, but only considers if their appointment makes them eligible to be a PI.
- Transition this change over a three-year period before the next three-year review cycle, with the following allocation:
 - o Year 1: 50% old allocation; 50% new allocation
 - o Year 2: 25% old allocation; 75% new allocation
 - o Year 3: 100% new allocation
- See Table 1 for fiscal breakdown based on this strategy.

Discussion: As a committee, we identified the benefits and challenges of this change as follows:

- **Benefits:**
 - o The allocation of the funds is completely transparent.
 - o Allocations are not frozen at a single point in time—such as what had happened in the past—but will change as the university changes in terms of the number PIs in each unit.
 - o The changes are not arbitrary (i.e., based upon who received awards at a single point in time)

- We discussed numerous alternative formulas based on GRF-related outcomes. The committee had mixed opinions on using GRF-related outcomes with some members seeing it as a means to create healthy competition among the units. However, the majority of the committee felt such formulas would spur unhealthy competition between the units and potentially hinder collaboration and cooperation across the University and would be fundamentally unfair and unproductive. Ultimately the committee agreed that using the size of a unit, compared to other strategies, reduces the chances of unintended consequences and provides a needed first step towards a fair allocation of GRF funds.
- **Challenges:**
 - There was a lot of discussion within the committee about the fairness of an allocation that treats each unit equally relative to the GRF. We had extensive conversations about the purpose of the GRF in terms of need and merit and its purpose of supporting faculty without external funding across units and bolstering resources in disciplines where there are fewer opportunities to pursue external funding. Ultimately, our recommendation to distribute funds based on total eligible faculty was selected as the best option given these considerations.
 - The committee acknowledges the challenge of change, especially given the long-lasting tradition of how the allocation was made, and that some units will be receiving a decrease in funds in the face of other budget cuts. Thus, the committee will continue to monitor the reports from the units each year and see how the reallocation influences the units and the GRF outcomes over time.

Finally, we want to note that our recommendation is the result of the work of many past iterations of this committee. In previous years, the committee collected data and historical documentation which has led to our ability to make this decision. Thus, this recommendation has been in planning and process within this committee's standing charge.

The data used, as well as some of the other metrics considered for allocation can be found in the GRF_Final_Recommendation.xlsx spreadsheet.

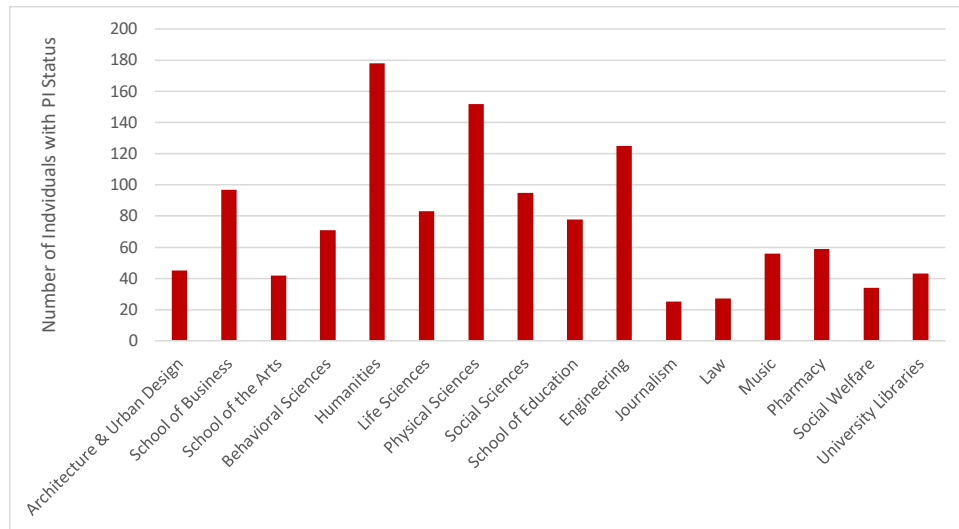


Figure 1 - Number of individuals with PI-status in each of the units. Data was provided by the office of research on 24 October 2022.

Table 1 - GRF Allocations for Fiscal Years (FY) 2022-2026. FY24 is based on 50% old allocation model and 50% new allocation mode, FY25 is based on 25% old allocation model and 75% new allocation model and FY26 is based on 100% new allocation model.

	FY22	FY23	FY24	FY25	FY26
Architecture & Urban Design	\$ 15,836.40	\$ 14,253.62	\$ 17,084.45	\$ 18,499.87	\$ 19,915.29
School of Business	\$ 36,920.70	\$ 33,230.63	\$ 38,079.57	\$ 40,504.04	\$ 42,928.51
School of the Arts	\$ 29,880.00	\$ 26,893.62	\$ 22,740.61	\$ 20,664.11	\$ 18,587.60
Behavioral Sciences	\$ 24,380.10	\$ 21,943.41	\$ 26,682.66	\$ 29,052.28	\$ 31,421.90
Humanities	\$ 96,852.60	\$ 87,172.60	\$ 82,974.31	\$ 80,875.17	\$ 78,776.03
Life Sciences	\$ 89,214.30	\$ 80,297.71	\$ 58,515.18	\$ 47,623.91	\$ 36,732.64
Physical Sciences	\$ 81,494.10	\$ 73,349.11	\$ 70,309.27	\$ 68,789.34	\$ 67,269.42
Social Sciences	\$ 57,266.10	\$ 51,542.60	\$ 46,792.99	\$ 44,418.19	\$ 42,043.39
School of Education	\$ 24,655.50	\$ 22,191.29	\$ 28,355.56	\$ 31,437.70	\$ 34,519.83
Engineering	\$ 42,992.58	\$ 38,695.66	\$ 47,007.95	\$ 51,164.10	\$ 55,320.25
Journalism	\$ 7,974.43	\$ 7,177.42	\$ 9,120.73	\$ 10,092.39	\$ 11,064.05
Law	\$ 20,925.90	\$ 18,834.45	\$ 15,391.81	\$ 13,670.49	\$ 11,949.17
Music	\$ 26,677.80	\$ 24,011.47	\$ 24,397.47	\$ 24,590.47	\$ 24,783.47
Pharmacy	\$ 17,703.90	\$ 15,934.47	\$ 21,022.81	\$ 23,566.99	\$ 26,111.16
Social Welfare	\$ 7,627.71	\$ 6,865.35	\$ 10,956.23	\$ 13,001.67	\$ 15,047.11
University Libraries	\$ 14,562.00	\$ 13,106.59	\$ 16,068.38	\$ 17,549.27	\$ 19,030.17
Total Check	\$ 594,964.12	\$ 535,500.00	\$ 535,500.00	\$ 535,500.00	\$ 535,500.00

Appendix 4: Slides Presented to the Faculty Senate on December 8, 2023



1

Faculty Senate Research Committee

This committee monitors and communicates with administration personnel and governance bodies concerning support for and policies concerning faculty research activities, including the allocation of GRF funds, and other issues affecting the research environment at KU.

Committee Members

Role	Member	Department	Last Year
Co-Chair	Indira Reddy	CBSE	2024
Co-Chair	Shobana Senthil Kumar	Neuro Sciences	2023
Chairperson	Ananya Anand	Neuro Sciences	2022
Pharmacology	Rick Debraay	Pharmacology and Toxicology	2025
CBSE	Amia Bora	Genetics	2024
CBSE	Gracya Chinn	Chemical and Biological Sciences	2023
Chairperson	Blake Wilson	Immunology	2022
CBSE	Michael Engel	Cell and Molecular Biology	2021
CBSE	Sara Marshall	Genetics	2020
CBSE	Devon O'Neil	Genetics	2019
CBSE	Luiza Sousa Junior	Microbiology	2018
CBSE	Celia Strass	Seminar/Workshop of Jee	2017
Education	Nand Kishore	Educational Psychology	2025
Co-Chair	Sushma Kishore	Way Chemicals Research	2024
Co-Chair	Aradhana Kishore	Way Chemicals Research	2023
Graduate Student Representative	Yash		

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General Research Fund (GRF)

<https://research.ku.edu/general-research-fund>

The General Research Fund is a competitive award program that provides funding for the advancement of the university's research program. The Office of Research provides funds to each school or college and assists in the administration of these funds.

The Vice Chancellor for Research has delegated to each entity the responsibility for awarding these funds. Each entity determines proposal criteria and has its own review committee, application process and submission deadline.

Each faculty member on the Lawrence campus is eligible to submit one GRF proposal to their school or college as the principal investigator. **Awards are based on the merit of the proposal**, which includes the scholarly excellence of the proposal and its benefit to the university and to the individual researcher.

Each entity may add additional proposal criteria as they deem appropriate. All funds are awarded for a one-year period (July 1 to June 30) and may be used for summer salary, student or GRA salary supplies and travel. The State of Kansas does not allow payment of tuition with these funds.



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GRF Allocation History

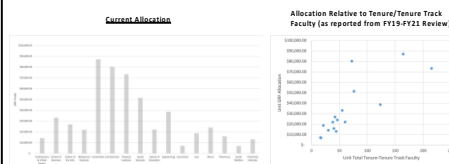
- Prior to 1994, GRF awards were determined at the University level.
- In 1994 the distribution of GRF funds was decentralized and individual units were allocated a share of the GRF and allowed to use the funds to support research in their respective unit with oversight from the Faculty Senate Research Committee.
- **The original GRF allocation was based on the GRF awards from the previous year and has remained unchanged since the original decentralization of the GRF in 1994.**
- Every 3-years each unit submits a report on how they used the GRF which is reviewed by the Faculty Research Committee



4

The Committee Recommends Changing the GRF Allocation

As a committee, we by majority agree (12 yes; 1 no) that there is no basis for staying with the historical formula. We ground our recommendation primarily in the argument that there has been change across the University in the past three decades, and the current allocation model does not reflect this change.



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How should the GRF be allocated?

Requirements

- The allocation of the funds should be **completely transparent**.
- Allocations should not be frozen at in time and should **evolve with the University** (Easily updated on a regular cycle)
- **The change should not be arbitrary** (needs to be based on advancement of the university's research program)

The committee evaluated and discussed many different metrics for allocation

Metric	Description
TEF	Total Eligible Faculty
TTF	Total Tenure – track Faculty
NPS	Number of GRF Proposals Submitted
FWF	Faculty Without external Funding
NPF	Number of GRF Proposals Funded
TGC	Total GRF Accomplishments
TRC	Total Relative Accomplishments (TGC/NPF)
TRN	Total Relative Need (NPS/TTF)
COMP	Use TRC to create two-tiered system
TRC(1-TRN)	Ratio of Accomplishments and Needs

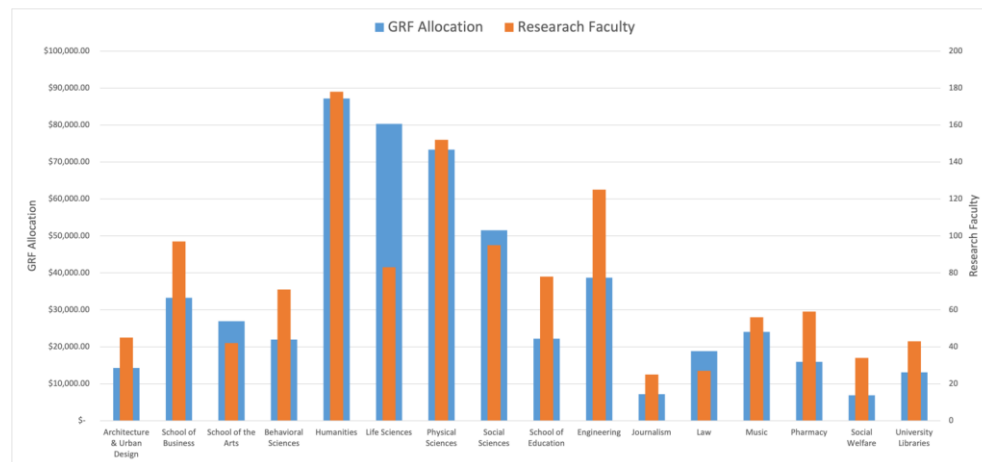
The committee had mixed opinions on using GRF-related outcomes and need metrics. However, the majority of the committee felt such formulas would spur unhealthy competition between the units and would be fundamentally unfair and unproductive. Ultimately the committee agreed that **using the size of a unit, compared to other strategies, reduces the chances of unintended consequences and provides a needed first step towards a fair allocation of GRF funds.**

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Appendix 5: Survey Submitted to FacEx

Faculty Research Survey

1) Under the current GRF system each unit gets a portion of the overall GRF budget and administers awards as determined by the unit. Below is a graph of current annual GRF allocations (blue) to each unit and the number of research faculty in each unit (orange). The current allocations (blue) are based on the distributions in 1993, the last year when individual proposals were awarded based on review by the Faculty Senate Research Committee, before the GRF was decentralized. Do you think that the GRF allocation should change?



Options:

- ☐ Yes
- ☐ No
- ☐ Undecided (If selected, add comment about what additional information would be helpful)

2) Another way to update the GRF would be to re-centralize the GRF and have the office of research administer a yearly competition open to all research faculty with oversight from the Faculty Senate Research Committee. Do you think re-centralization of the GRF would be a more equitable and fair way to administer the GRF?

Options:

- ☐ Yes
- ☐ No
- ☐ Undecided (If selected, add comment about what additional information would be helpful)