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*Chair of the Assembly of the Academic Senate  
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University of California  
1111 Franklin Street, 12th Floor  
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June 3, 2019

**ARTHUR ELLIS, VICE PRESIDENT  
RESEARCH AND GRADUATE STUDIES**

**Re: Five-Year Review of UC Humanities Research Institute (UCHRI)**

Dear Art:

At its May 22, 2019 meeting, the Academic Council approved the attached Five-Year Review of the UC Humanities Research Institute (UCHRI) Multicampus Research Unit (MRU). Following procedures outlined in the Compendium, the review was performed by a Joint Senate Review Committee, led by the University Committee on Research Policy (UCORP) with input from the University Committee on Planning and Budget (UCPB) and the Coordinating Committee on Graduate Affairs (CCGA).

UCHRI provides annual competitive grant funding to faculty and graduate students on all ten UC campuses to support collaborative multi-campus humanities research projects. UCHRI does not receive formal support as an MRU, but has received multi-year funding awards from UCOP MRPI competitions in 2009, 2014, and 2018. In 2017, it received a \$10 million challenge gift from the Mellon Foundation to support a total \$30 million endowment to be raised over the next 4 years.

The Joint Review Committee found that the UCHRI is in many ways a model MRU that is effective in enhancing humanities research collaborations across UC campuses. However, the Committee's report also describes several challenges facing UCHRI, including concerns from some faculty that UCHRI is not inclusive enough in its support of humanities research and lacks transparency about its budgeting practices and award criteria. While the Joint Committee recommends renewing UCHRI as an MRU for additional five years, it also recommends that UCHRI increase transparency in budget reporting; broaden and diversify faculty participation and disciplinary representation; and develop opportunities for non-ladder-rank faculty to compete for fellowships and grants. The Joint Committee also recommends that UCHRI involve systemwide development support in the \$20 million fundraising effort.

The Academic Council appreciates the significant time and effort the Review Committee spent in preparing and writing this report. In particular, I want to recognize the substantial contributions and outstanding leadership of UCORP Chair Andrew Baird.

Please do not hesitate to contact me if you have additional questions.

Sincerely,

A handwritten signature in brown ink, appearing to read "R. C. May".

Robert C. May, Chair  
Academic Council

cc: Academic Council  
Senate Directors



UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)  
Andrew Baird, Chair  
Email: [anbaird@ucsd.edu](mailto:anbaird@ucsd.edu)

University of California  
Academic Senate  
1111 Franklin Street, 12th Fl.  
Oakland, California 94607

April 8, 2019

**ROBERT MAY**  
**CHAIR, ACADEMIC COUNCIL**

**RE: Five-Year MRU Reviews of UC Institute for Nuclear and Particle Astrophysics and Cosmology (INPAC) and the UC Humanities Research Institute (UCHRI)**

Dear Robert,

On behalf of UCORP, CCGA, and UCPB, I am pleased to submit two five-year MRU reviews conducted by the committees this year. The UC Institute for Nuclear and Particle Astrophysics and Cosmology (INPAC) and the UC Humanities Research Institute (UCHRI) were reviewed as specified by the Compendium, with UCORP as the lead committee and with the participation of members of UCPB and CCGA, who consulted with their respective committees.

UCORP would like to thank the staff of the Office of Research and Graduate Studies (ORGS) for their hard work and support leading up to and during the reviews.

Sincerely,

A handwritten signature in cursive script, appearing to read "A Baird".

Andrew Baird  
Chair, University Committee on Research Policy

cc: Kum-Kum Bhavnani, Academic Council Vice Chair  
Hilary Baxter, Academic Senate Director  
UCORP, UCPB, and CCGA members

Enclosures:

Review of Institute for Nuclear and Particle Astrophysics and Cosmology (pp. 2-15)  
UC Humanities Research Institute (pp. 16-24)

# Review of the University of California Humanities Research Institute

University Committee on Research Policy (UCORP)  
(Lead Committee)  
University Committee on Planning and Budget (UCPB)  
Coordinating Committee on Graduate Affairs (CCGA)

March 17, 2019

## I. EXECUTIVE SUMMARY

The University of California Humanities Research Institute (hereafter UCHRI) is a multicampus research unit that supports research in the humanities, humanistic social sciences, and in some arts disciplines as well as interdisciplinary work in and across all ten UC campuses. The scope of research undertaken under the auspices of UCHRI is local, national, and international and represents state-of-the-art research and as well as future directions in research.

As systemwide funding for multi-campus research units has discontinued, UCHRI has successfully competed for MRPI funding and garnered substantial support from an impressive number of foundations to continue its research endeavors and, equally significantly, to begin the work of establishing an endowment for its future operations. Last year UCHRI received a gift of \$10 million from the Mellon Foundation with a stipulation that \$20 million matching funds be raised over the next four years.

As a multicampus research unit, UCHRI has been remarkably successful and has brought recognition to the UC system for the infrastructure it has created to support research and the production and dissemination of knowledge in the humanities.

This document presents the findings and recommendations resulting from the five-year review of UCHRI performed on behalf of the Academic Senate by the University Committee on Research Policy (UCORP), the Committee on Planning and Budget (UCPB), and the Coordinating Committee on Graduate Affairs (CCGA), with UCORP acting as the lead committee. Below, we refer to UCORP, together with participating members from UCPB and CCGA, as the Review Committee.

The main questions to be addressed by the review are specified in *The Compendium: Universitywide Review Processes for Academic Programs, Academic Units, and Research Units*<sup>1</sup>, which describes establishment and disestablishment procedures, best practices, reporting requirements, and review procedures for MRUs and other University of California research units. According to *The Compendium*, the report should “provide an objective and balanced critical evaluation of the MRU to be reviewed” and answer two key questions:

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<sup>1</sup> [https://www.ucop.edu/institutional-research-academic-planning/\\_files/compendium\\_sept2014.pdf](https://www.ucop.edu/institutional-research-academic-planning/_files/compendium_sept2014.pdf)

1. Does the unit provide a unique service to UC in research, support of graduate education, and public service that would otherwise not be provided in its absence?
2. Should the MRU be continued for another five years?

The outline of this document largely follows the format for five-year MRU reviews specified in *The Compendium*. The information is presented as follows: Executive Summary, Introduction, Evidence of Accomplishment, Budget, Administration and Governance, Advisory Committees, and Conclusions and Recommendations.

## II. INTRODUCTION

### a) History

UCHRI was established in 1987 as part of the University of California Humanities Initiative, which also established faculty and graduate student fellowships. UCHRI provides funding for faculty and graduate students through competitive grants, individual and collaborative, and it partners with campus-based humanities centers which connect their faculty and graduate students with colleagues at other UC campuses. Helping to advance careers through funding, expanded feedback, and encouragement of focused professional networks, UCHRI has developed a national and international reputation and has leveraged UC systemwide resources to generate tens of millions of dollars in external funds for special projects. By sharing resources and generating external grants and gifts, UCHRI has efficiently funded a number of systemwide humanities projects and provided support through the Institute's infrastructure. It has also established good practices for awarding projects through a peer-review process.

### b) Mission and scope

The Mission of UCHRI is to facilitate experimental and interdisciplinary humanities scholarship through competitive grants and collaborative research partnerships and initiatives across the UC system and research collaborations nationally and internationally. It provides leadership in investigating ideas pertaining to human states, critical theorizing, creative humanities in public life, planetary perspectives regarding sustainable ecologies, and working futures. UCHRI remains attentive to the pressing and emerging issues in the academy and beyond.

UCHRI's mission is well suited for an MRU. Leveraging systemwide resources, it creates collaborations and research partnerships across the UC system. With its large presence, UCHRI garnered funding from prestigious foundations.

### c) Service to University and State

UCHRI has provided excellent support for humanities graduate students and young faculty throughout the UC system. For the last four years, UCHRI has run a series of multicampus workshops for UC humanities graduate students and approximately 250 students per year have participated in the program. UCHRI awards competitive grants supporting research, public humanities, digital humanities, and graduate training on every UC campus: approximately 90 grants per year are awarded totaling an average of \$1 million annually. A considerable majority of grants require interdisciplinary

multicampus collaborative faculty and graduate student participation. These grants have led to a large number of publications, multimedia outputs, public events, and archival creation or expansion. UCHRI has organized Humanists@Work, a UC-wide graduate career initiative funded by the Mellon Foundation and the Modern Language Association (MLA) with eight day-and-a-half-long workshops rotated around the state in the past 4 years. Over 800 students have attended these events, benefiting individual students and helping local campus humanities departments.

These funds have supported multicampus research working groups, collaborative interdisciplinary residential research groups, conferences, workshops, seminars, and first book manuscript workshops for UC assistant professors. This support has enabled publications across the University of California and initiated and supported a great range of research projects and initiatives.

UCHRI has also innovated by working on current topics. With funding from the MacArthur foundation (and the Gates Foundation), UCHRI became the host site for a decade-plus long national initiative on Digital Media and Learning. This in turn made possible the creation of the concept “Connected Learning” that has resulted in a range of publications and an annual national conference attracting, on average, over 500 participants. This will certainly raise the visibility of not only the institute, but also the UC system overall and help students and faculty in the UC system.

UCHRI has funded four public humanities projects each year, covering issues like the importance of linguistic proficiency, Latino self-identification, multi-ethnic histories of LA's Boyle Heights, climate change, the redevelopment of the LA River, California's housing crisis, and the experience of Skid Row. These projects have enabled UC faculty and students to partner with California's diverse communities and contribute to the understanding of the issues faced by the state. UCHRI and partner institutes have hosted public-facing events each year, which also increases UCHRI's visibility and its ability to bring attention to its contributions to the state.

#### d) Regional, National and International Visibility

UCHRI is world renowned for its multidisciplinary humanities-based research that often encompasses other disciplines such as life sciences, physics, engineering, law, and agriculture. These inter-disciplinary interactions are supported by the partnerships UCHRI established with various Colleges at UC as well as with cultural institutions of other schools (not only US, but also, Asia, Africa, Europe, and Latin America). Such interactions are nurtured via lecture series and symposia that bring the topics of broad importance to focus and encourage debates, ultimately, leading to novel solutions for global problems.

#### e) Internal interactions between units

UCHRI has been active on all 10 UC campuses in fostering dynamic interactions between faculty and students in humanities, humanistic social sciences and the arts. Through UCHRI, Humanities Centers at each UC campus are cross-pollinating each other with the strengths of each campus. Specifically, UCHRI greatly contributed to innovative UC-wide projects in humanities and to the state-of-the-art undergraduate curriculum development, as well as to promoting graduate student research education through a collaborative atmosphere and expanded ability for networking such as junior

faculty lecture and workshop series on each other's campuses and a multicampus op-ed writing workshop.

Each campus' humanities center receives basic baseline collaborative program support through UCHRI that enables them to co-organize multicampus activities.

UCHRI fosters an inclusive atmosphere and encourages the projects that involve multiple faculty at various UC campuses and multiple researchers at each campus. One of the tools for achieving inclusivity and broad collaborations is the provision of funding. Multicampus calls require participation by faculty and graduate students from at least three campuses, and awarded applications often involve participants from even more. For example, junior faculty manuscript workshops require awardees to select relevant expert participants from other campuses to comment on their work. UCHRI's residential research groups invariably involve participants from four or five UC campuses. Working groups for both faculty and graduate students average four to five campus representation.

Additionally, UCHRI's projects are fundamentally collaborative and support "multicampus working groups, residential research groups, conferences, seminars, public humanities, digital humanities, manuscript workshops to help junior faculty publish their first book, faculty and graduate student research fellowships, and training for graduate students who wish to use their humanities PhDs in pursuit of diverse career pathways."

#### f) External interactions

UCHRI has spearheaded a number of initiatives of international and global significance. The specific endeavors, listed below, have sometimes stemmed from ideas by UC faculty and they also welcome faculty involvement:

1. Project on religion and diaspora (with workshops and conferences in Paris, France).
2. The Asia Theory Network with faculty colleagues in Taiwan, Japan, Korea, Hong Kong, Singapore, the Philippines, and China. *Under development*: Co-directing the Asia Theory Network with Luce Foundation funding. Network members include colleagues at universities in Taiwan, Japan, Korea, Singapore, Hong Kong, Philippines, and China.
3. The Global Critical Theory Research Network; multilingual website for the Network and the Critical Theory Archive, meetings with collaborators in Johannesburg and Cape Town.
4. The cultural history and its impacts of Chinese food and medicine (Hong Kong, *under development*).
5. Digital Media and Learning: "The notion of "Connected Learning" was conceived, defined, refined, and widely adopted out of our work." UCHRI conducted biannual international competition "awarding on average \$2 million per competition to international projects to develop technologies in support of connected learning" in partnership with "White House Office of Science and Technology Policy, the Mozilla Foundation, with Facebook, and Lady Gaga."

### III. EVIDENCE FOR ACCOMPLISHMENT

UCHRI has received endorsements from a number of prestigious funders, including the MacArthur, Gates, Ford, Mellon, Rockefeller, and Luce Foundations, the National Endowment for the Humanities, and the National Science Foundation.

### IV. BUDGET

#### a) Materials Provided

The main source of budgetary information is provided by Appendix 1, which consists of four parts: a summary of the funds and expenditures, expenditures by campus, expenditures by fund type, and expenditure by MRU sub-grant and contract.

#### b) Central Support

The discontinuation of systemwide funding for MRUs has led to decline in funding. This has been offset to some extent by the MRPI funding for which UCHRI has successfully competed. However, MRPI funding is project-oriented which is currently limited to a two-year cycle, constraining UCHRI's ability to plan for the multiyear projects and workshops that are fundamental to its mission. In response to the decrease in systemwide funding, UCHRI has reduced staffing, especially for specific externally-funded initiatives that have been completed. Other reductions in staffing have occurred because of the decline in funding. UCHRI has made consistent and concerted efforts to offset this loss through extramural funds. This situation may be some cause for concern with respect to UCHRI's longterm plans for growth.

#### c) Local Campus Support

UCHRI's host campus is UC Irvine which provides rent-free space to house the institute (30 offices, two small meeting rooms and a conference room for 75 people). Additionally, the host campus provides annual support from the Office of Research at UCI as well as overhead from grants which ranged from approx. \$217,000-314,000 per year over the last five years.

Separately, the 10 campus humanities centers of UCHRI provide space, staffing and operational support for various multi campus activities (e.g. lectures, workshops). An annual payout (ranging from approx. \$32,000-42,000 per year over the last five years) from an endowment supports two doctoral dissertation fellowships at other UC campuses.

#### d) External Support

UCHRI has leveraged systemwide resources to receive nearly \$30 million over the past five years (ranging from approx. \$2-9 million per year) from prestigious foundations and agencies including the MacArthur, Gates, Ford, Mellon, Rockefeller and Luce Foundations, the National Endowment for the Humanities, and the National Science Foundation.



The MacArthur Foundation, with supplemental funding from the Gates Foundation, funded a decade plus national initiative focused on Digital Media and Learning (DML) for which UCHRI is the host site. This review includes the last five years of the initiative where grant funding ended in 2016/17 which is why extramural funds dropped from a range of approx. \$6-9 million in the 2013-2017 period to approx. \$2 million in 2017/18.

The extensive extramural funding has contributed to UC Irvine ranking fourth in the nation and first among UC campuses in terms of the percentage of research budget devoted by public universities in the US to humanities research in 2016. UCHRI's contributions to each of the campus humanities centers contributes to their respective rankings.

It should be noted that the extramural grants do not necessarily provide unrestricted funds that could benefit the broad range of humanities research conducted throughout the UC system. This information does not appear to always reach UCHRI's target audience, generating the perception that research funding is not evenly distributed across the multitude of areas and types of research.

#### e) Projected Support

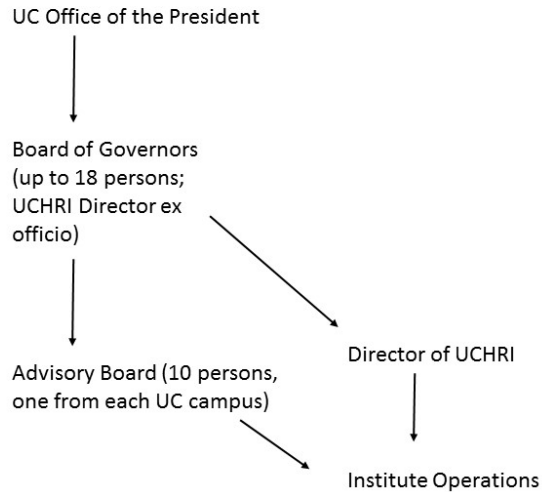
UCHRI received a \$10 million endowment from the Mellon Foundation (referred to as the Mellon Challenge gift) in December 2017, which is to serve as base contribution to support an effort to obtain an additional \$20 million endowment over the next four years. Although the funds have already been provided to the UCI foundation, no proceeds from the Mellon gift will be available for use until the additional \$20 million is in place (likely in four years). If realized, this total endowment will provide the baseline funding for ongoing and evolving UCHRI operations and the UCHN (UC wide Humanities network). The UCI Advancement Office is leading the campaign with the assistance of the Advancement offices on every other campus along with the Provosts and the Provost Office at UCOP.

UCHRI will continue to obtain extramural funding for ongoing projects in the coming years. For example, it is currently in the second year of a four-year initiative (Horizons of the Humanities) funded by the Mellon Foundation. Also, it received a \$3 million grant from the Luce Foundation to support the Asia Theory Network (ATN) for the next three years, a project devoted to support critical theory across the Pacific Rim.

## V. ADMINISTRATIVE GOVERNANCE

### a) Overview/Bylaws

The bylaws set out the purpose, location, and administrative governance of the UCHRI (see diagram below). The Board of Governors is appointed by and reports to the UC Office of the President, and appoints an Advisory Board. The Advisory Board, in conjunction with the Director of the UCHRI, administers the program (see figure below).



#### b) Director

Dr. David Goldberg is a Distinguished Professor at the University of California, Irvine. He has been Director of the UCHRI since 2000, and the Executive Director of the MacArthur/UCHRI Digital Media and Learning Research Hub since 2008. He has served as PI or co-PI on a large number of grant projects which have raised funds for UCHRI. According to the bylaws, the Director is on a renewable five-year term.

#### c) Personnel

The affiliated personnel include 92 individuals, including faculty, staff, graduate students, undergraduate students, and several other academics and consultants.

#### d) Space and Resources

From its inception, UC Irvine (where UCHRI is housed), provides rent-free space, consisting of 30 offices, conference and meeting rooms. UC Irvine provides twelve apartments for rental use to support residential research fellows and members of working groups.

#### e) Contract and Grant Support

UCI performs administrative oversight and is responsible for compliance with the various UC, State, and Federal regulations. UCHRI has a staff who performs grant accounting.

### VI. ADVISORY COMMITTEE(S)

#### a) Internal

The UCHRI Advisory Committee consists of 10 members, one from each UC campus. Members are nominated by a nominating committee of the Board of Governors, and then appointed by that Board, with a goal of representing the diversity and disciplinary

breadth of the University faculty. The Board also appoints the Chair of the Advisory Committee.

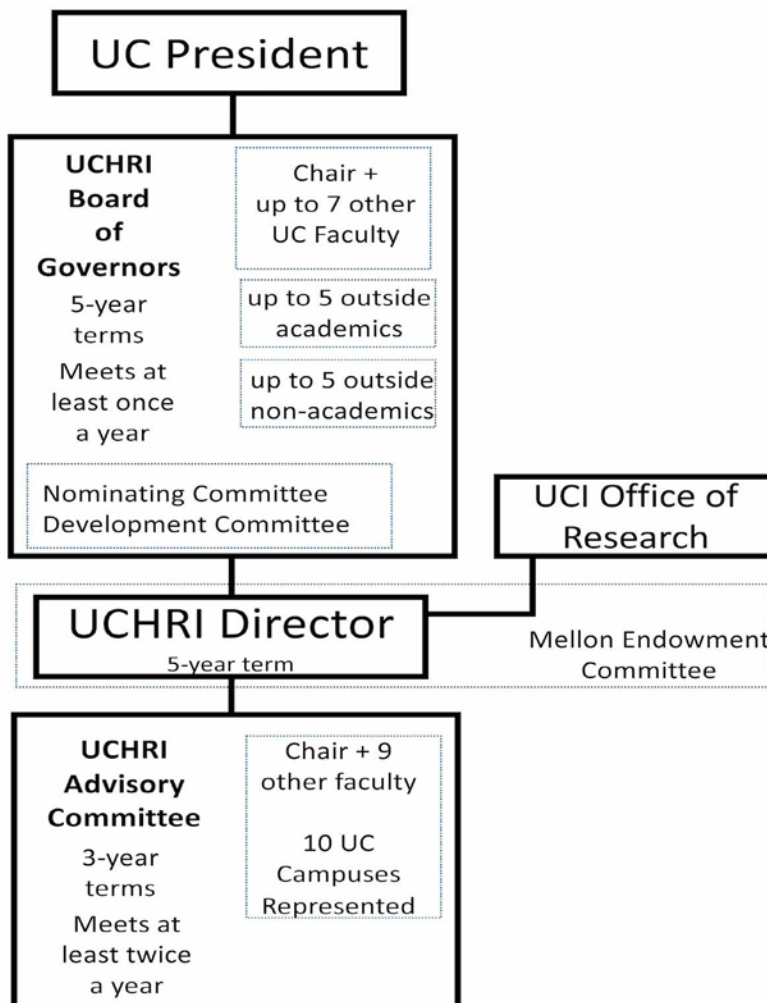
The principal responsibility of the Advisory Committee is the review and selection of grantees. The Advisory Committee also significant responsibility for the facilitation of communication between home campuses and UCHRI, and for assistance to and feedback to the UCHRI Director.

For administrative matters, the UCHRI reports to the UCI Office of Research. The Mellon challenge gift is overseen by a group of UC administrators.

b) External

The Board of Governors consists of up to 18 members, up to 10 of which may be external to UC. Members are appointed by the UC President, with the advice of Chancellors and the existing Board of Governors. The President also appoints a Chair.

The Board of Governors has primary responsibility for oversight of UCHRI, and through its nominating committee, finds new Advisory Committee members and appoints them. The UCHRI Director is appointed by the UC President and reports to the Board of Governors.



## VII. CONCLUSIONS AND RECOMMENDATIONS

The Review Committee concludes that UCHRI is a model MRU that has facilitated and enhanced humanities research across the UC campuses, ensured vital support for graduate education, provided noteworthy public service, and brought distinction and national recognition to the UC system. Nevertheless, UCHRI continues to face challenges in the immediate and near future.

UCHRI's continued success hinges on its ability to meet the \$20 million Mellon Foundation challenge. To fulfill this promise over the next four years, UCHRI will need a high level of systemwide advancement support. We strongly recommend that the UC take full advantage of the funding provided by the challenge by finding appropriate matching funds. Systemwide support could also assist UCHRI identify opportunities for humanities-related research projects sponsored by the state.

Given UCHRI's extraordinary success under the current Director's leadership and his plan not to seek another term, succession planning should be undertaken immediately to provide ample time for a national search.

The Review Committee recommends that UCHRI be renewed as a multicampus research unit for five years. To ensure UCHRI to attain the next level of national success, we recommend that UCHRI:

1. Convene a meeting of its Advisory Board to devise a communication plan to better inform humanities scholars in the UC system about the nature of its mandate, the funding it receives from different sources, and how allocations are made to specific competitions UCHRI administers each year. Disseminating this type of broad overview of UCHRI's reliance on competitive funding, be it MRPI or national foundations and granting agencies, will address the concern among some humanists that UCHRI does not support all forms and aspects of research in the humanities.
2. Work to develop transparency in budget reporting including the source of funds, targets of funds, and criteria for allocation. This will assist potential recipients in developing their proposals, thereby ensuring broad access and diversity across fields and campuses. Additionally, it will help to provide justification for continued MRU status and dispel concerns regarding any advantages UCHRI holds in competing for MRPI funds.
3. Aim to increase faculty participation particularly to further enhance diversity among applicants, foster a climate of inclusivity, and conduct more outreach, that would encourage more members of underrepresented minorities, both among faculty and graduate students, to apply for grants and fellowships and to participate in programs sponsored by UCHRI.
4. Develop opportunities for non ladder-rank faculty, currently not eligible for UCHRI funding opportunities, to compete for fellowships and grants. This would ensure that campuses that have few ladder-rank scholars in the humanities and the arts could participate in individual and/or collaborative research projects.