

**Minutes of Meeting  
November 18, 2013**

**I. Chair's Announcements**

*Bob Clare, UCORP Chair*

*Liane Brouillette, UCORP Vice Chair*

**Updates:** Chair Clare reported on several items of interest from the Academic Planning Council (APC): 1) Cross-campus enrollment discussions focused on impacted majors, degree credit courses, and less commonly taught languages as possible next areas of emphasis. 2) The current effort to have performance indicators led to a discussion of what should be measured and how, as well as how best to report grant dollars and their impact. 3) The Open Access pilot is underway at Irvine, Los Angeles, and San Francisco, but many publishers are treating UC as a whole, so everyone should expect waiver requests. Most publishers also seem to be including post-doctoral scholars in the waivers. Better communications are still needed in this area. 4) Enrollment management, while beyond the UCORP charge, is a significant issue at every campus.

Vice Chair Brouillette reported that much of the October Academic Council meeting was spent discussing response strategies to the "Moreno Report" which alleges discriminatory practices in academic advancement at UC. A joint investigatory committee will be formed and charged to issue findings within 30-60 days.

**II. Consent Calendar**

1. DRAFT Minutes of October 14, 2013:

**Action:** The minutes were approved as amended.

**III. Campus Updates**

Berkeley: 1) COR is meeting today to discuss how to implement the funding switch to the COR grants. 2) Composite Benefit Rates has received much discussion.

Davis: COR membership has undergone significant turnover, and the new membership is asking tough questions, like why is animal research governed by facilities, not the Office of Research?

Irvine: COR is also contemplating changes to its local awards, but is waiting to see how other campuses' changes are received.

Los Angeles: 1) Open Access was widely discussed, and the roll-out seems to have been well-implemented. Colleagues appreciate the generous opt-out policy and look forward to the harvesting tool. It was asked if the harvester will include faculty websites, too. 2) COR is discussing changes to the grants review process, looking to make it more web-based.

Merced: 1) A review of all campus ORUs is underway, and the composition and goals of the campus research profile are being discussed as part of the process. 2) A Senate library committee is being developed. 3) IGP's are being submitted, slowly.

Riverside: 1) The Vice Chancellor for Research is now an *ex officio* member of COR, and COR is slowly shifting its focus to broader policy issues beyond traditional COR grants. 2) Some basic supplies have returned to a regular replacement cycle, but specific dollar allowances have not yet been determined.

San Diego: Composite Benefit Rates were discussed, but there is a significant information gap on the topic.

San Francisco: 1) COR grants have been centralized, and they are under review now. UCSF follows an NIH-like model wherein subtopics are rank-ordered and returned to a central committee for funds allocation. 2) It is thought that up to 11 Composite Benefit Rates will be needed on campus. 3) The new open work space model is expected to drive faculty away; there are no data yet, but personal observation confirms the fears.

Santa Barbara: (absent)

Santa Cruz: 1) COR is taking a more activist tone this year, investigating the usage of opportunity funds first. 2) Grants for new faculty research are being administered. 3) COR heard from the VCR and the Graduate Dean about the president's graduate student recruitment initiative, but in the era of rebenching, the role of extramural funding and incentivizing faculty to pursue ever larger grants complicate the path forward. A tutorial program for grant writing is being developed. 4) The VCR is *ex officio* COR member now here, too. COR is looking to become more widely involved in equipment grants and policy issues.

Graduate Student: 1) The undergraduate student representative is still being recruited. 2) Changes to the post-doc funding policy requiring 1-year minimum appointments, rather than shorter-term bridge funding, will be discussed in detail in the spring.

#### **IV. Consultation with the Office of the President – Office of Research and Graduate Studies**

##### **1. Portfolio Review Group**

*Dottie Miller, Director, Systemwide Programs and Initiatives, Innovation Alliance Services*

**Issue:** The PRG is charged to advise on how the system should prioritize its overarching research portfolio. The group includes representatives from each campus, including faculty from six campuses. Metrics include investment leveraging, leveraging the system, efficiency, and value added. The first cycle of review is nearly complete. The first review cycle focused on programs supported by campus assessments, and the second will examine those that are state-supported. The programs being reviewed in the first cycle have a total budget of ~\$60M, and the second cycle total is ~\$30M. Specific programs being evaluated in cycle one include UC Observatories, Multi-campus Research Programs and Initiatives (MRPIs), the lab fee program, UC Mexxus, the California Institutes for Science and Innovation (Cal ISIs), the Natural Reserve System (NRS), and the research opportunity fund. Members are reminded that this is not an academic review of any program, but an analysis of the portfolio. A working draft report is being vetted; a public report should be available later in the fall.

##### **2. Indirect Cost Recovery**

*Wendy Streit, Executive Director, Research Policy Analysis and Coordination*

**Issue:** The charge to re-examine the University's Indirect Cost Recovery (ICR) policies and practices is part of the Working Smarter Initiative, which in turn is built on the findings of Indirect Cost Waiver Policies and Practices Workgroup, an ORGS-formed group. The first three recommendations are being implemented: 1) the issuance of a presidential policy enumerating specifically the goal of full cost recovery; 2) the approval of exceptions is being delegated to campuses; and 3) class waivers are being

discontinued. A new policy is being developed and will go through standard review processes.

**Discussion:** Members asked if the delegation of approval authority could lead to certain types of grants or funders being blacklisted, and Director Streitz indicated that no significant changes in funding sources was expected, only changes in the processes. Members inquired how the exception approval process was expected to change. Director Streitz answered that no grants or grantors will be pre-approved; instead, UCOP will do background research and share the information with local decision makers. Members noted that any grants lost due to procedural changes would play negatively in the press. Members suggested that the threshold to require ICR might be raised. Members were reminded that gifts and donations are not subject to these processes.

3. MRPI

*Mary Croughan, Executive Director, Research Grant Programs Office*

*Kathleen Erwin, Director, UC Research Initiatives*

A. Compendium

**Issue:** The Compendium governs approval and evaluation procedures for academic programs, units, and research units. Outstanding revisions to the multi-campus research unit (MRU) section are being completed. The proposed edits before the committee today align the multi-campus research programs and initiatives (MRPI) section with the Academic Personnel Manual and the Regents Standing Orders. They also include clarification text regarding the differences between MRUs and MRPIs.

**Discussion:** Some members wondered whether there was too much explanatory text, and that it might overcomplicate the document, rather than clarify it. Consensus was reached that retaining the clarifying language would help researchers navigate UC protocols.

**Action:** UCORP will forward the endorsed edits to its sister Compendium review committees for evaluation.

B. Bridge Funding

**Issue:** Recent decreases in available funding are expected to have a disparate impact on the humanities and social sciences. However, since all original winners have received 100% of their awards, and since the staggered start of the program has pre-committed other funds, there is not enough to offer bridge funding to initiatives that need short extensions while extramural funds are sought.

**Discussion:** Members asked whom they should lobby to increase available funding, and Director Croughan suggested lobbying local officials, such as VCRs and Executive Vice Chancellors. Members also asked if there were prepared talking points, and Director Croughan said she would send some. The small amount of money available needs guidelines for allocation, as it is unclear how much impact the current total available funding could have if it were divided approximately evenly.

V. **Systemwide Review Items**

1. APM 600 series (Salary Administration)

**Action:** The committee elected not to opine on this item.

2. Senate By-Law 55 (Department Voting Rights)

**Discussion:** Members noted that the proposal is similar to annual non-tenure voting rights practices found on some campuses. Members also noted that informal votes are

common at many locations, and this seems a measured approach. Nonetheless, the permanency of the population in question and their academic values is of concern to some.

**Action:** Consideration of the proposal will continue at the December UCORP meeting.

3. APMs 670, 671, and 025 (HSCP Conflict of Commitment)

*Note: Item deferred.*

4. APM 035 (Sexual Harassment)

*Note: Item deferred.*

## **VI. Open Access Update**

*Note: See Item I.3 above.*

## **VII. Consultation with Academic Senate Leadership**

*Bill Jacob, Academic Council Chair*

**Update:** Chair Jacob updated the committee on several items of interest:

- President Napolitano has announced 7 new initiatives, focusing on undocumented student support, graduate student recruitment, post-doctoral scholar support; each of these has been pledged \$5M. The other four are a 14-15 tuition freeze with a charge to examine tuition increase alternatives, such as cohort-based tuition; improved community college transfers, expanded technology transfer, and to make UC a zero-net energy consumer by 2025. The Senate expects to be heavily involved.
- President Napolitano has a new chief of staff, Seth Grossman, whom she recruited from her time at the Department of Homeland Security. The former chief of staff is now senior policy advisor.
- A new effort to align DOE lab research and UC priorities is beginning.
- Chair Jacob and Provost Dorr presented a report on PhD students and their funding to the Regents last week. It is a new topic for many.
- An enrollment management workgroup is being formed.
- The general campus LRF total remuneration study is moving forward. Bidders are being evaluated.
- The path forward on Composite Benefit Rates is unclear.

*Note: the remainder of this item occurred in executive session; other than action items, no notes were taken.*

## **VIII. Elevating UC's Research Mission**

**Issue:** Chair Clare noted that many in the public, in the legislature, and perhaps in OP need educated regarding the value of UC research not only to the institution in terms of financial support and academic prestige, but also in terms of impact to day-to-day life as citizens of California. Of particular concern is the idea that research occurs at the expense of undergraduate education, not as a basis for it. UC is constitutionally charged to serve as the research arm of the state, but that mission has been undermined by budget cuts, and the internal allocation of those cuts.

**Discussion:** Members noted that students prefer UC because of its faculty, but the question of why UC has better faculty is seldom asked, and the answer "because of its research environment" is never heard. Yet faculty researchers are routinely poached by institutions who offer them newer, better labs, not more undergraduate instruction courses. Additional work

needs to be done to illustrate the interrelationship between research and podium instruction. UC might usefully align its research portfolio to address societal grand challenges. Interdisciplinary research should also receive more plaudits, especially as research, even in single fields, requires a team, not a single motivated individual.

**IX. New Business**

*None.*

Meeting adjourned at 4:05 p.m.

Minutes prepared by Kenneth Feer, Principal Analyst

Attest: Bob Clare, UCOR Chair