University Committee on Research Policy

Annual Report 2015-16

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Research Policy (UCORP), as specified in Senate Bylaw 200, is responsible for fostering research; for formulating, coordinating, and revising general research policies and procedures; and for advising the President on research. During the 2015-16 academic year, UCORP met eight times, seven in person and once via teleconference. This report briefly outlines the committee's activities during the year.

RESEARCH AND GRADUATE STUDIES

1. UC MEXUS Review
UCORP spent much of the 2015-16 year working on a "sunset" or 15-year review of the University of California Institute for Mexico and the United States (UC MEXUS). UCORP led the Senate review, with participation from UCPB and CCGA. UCORP members reviewed extensive written materials prepared by UC MEXUS and the UC Research Grants Program Office for the review. The Chairs and Vice Chairs of the three participating Senate committees met via teleconference to plan the details of the review process, including developing interview questions for the UC MEXUS Executive Director, Program Directors and Advisory Board. The informal joint subcommittee conducted phone interviews with the two UC MEXUS Program Directors and with the Institute's Advisory Board. The UC MEXUS Review report was submitted to Academic Council for transmittal to Provost Aimée Dorr on May 13, 2016.

2. Multicampus Research Programs and Initiatives (MRPI) Opportunities and President's Catalyst Award
The Multicampus Research Program Initiative (MRPI) program supports innovative multicampus research collaborations, with competitive grant funding from campus assessment. The planning/pilot awards, intended to stimulate new collaborations, provide up to two years of funding, while the program awards provide up to four years of funding to support new or established research collaborations. The President's Research Catalyst award, which was first offered two years ago with funding from the President's Endowment Fund, will this year be folded into the MRPI process and will be awarded to selected highly regarded applicants to be chosen by the President. UCORP members provided feedback on the draft MRPI RFP, which was finalized and sent out to campuses in the spring.

3. UC Laboratory Fees Research Program
The UC Lab Fees Research Program is funded by a portion of the fees the University receives for its management of the Los Alamos and Lawrence Livermore National Labs. A new request for proposals (RFP) was released in April, 2016. This year there are two funding opportunities: a "UC Multicampus-National Lab Collaborative Research and Training (UC-NL CRT) Award" and a "UC-National Lab In-Residence Graduate Fellowship" for doctoral graduate students. Three targeted areas of focus were identified for the multi-campus awards that align with the research interests of UC-lab

collaborations: biological applications of advanced computing, high energy density science, and mesoscale materials science. Although the multi-campus collaborative opportunity requires participation by a minimum of four campuses and either LANL or LLNL, the program received 33 viable letters of intent. After extensive review by multidisciplinary panels, 3-5 proposals will be funded. The graduate fellows opportunity received 22 letters of intent, of which approximately 4 will be funded.

4. Portfolio Review Group

UCORP was asked for comment on the Portfolio Review Group (PRG) follow up compilation of strategic plans from five UC programs: California Institute for Telecommunications and Information Technology 2 (calit2), Center for Information Research in the Interest of Society (CITRIS), California NanoSystems Institute (CNSI), UC Natural Reserve System (NRS), and the UCSD Supercomputer Center. UCORP sent a letter with its review of the plans to Interim Vice President Bill Tucker on December 15, 2015.

In June, UCORP heard an update from Natural Reserve System Director Peggy Fiedler on the organization's strategic planning efforts and 50th anniversary capital campaign. NRS is the largest field station operator in the world, with 39 reserves and over 756,000 acres.

5. Multicampus Research Unit Reviews

In June, after the completion of the UC MEXUS Review, committee members met with Provost Aimée Dorr and the Research Grants Program Office staff to discuss future Multicampus Research Unit (MRU) reviews. In recent years, oversight of MRUs decreased significantly as UCOP staff were cut in the 2000s. Communication between MRUs and UCOP decreased in the intervening years, and the review schedule languished. However, with a new Vice President starting this summer and a more stable budget, there is now an opportunity to strengthen relationships and focus attention on the structures in place for evaluating MRUs. While the Portfolio Review Group addressed some concerns, there is still uncertainty around which multicampus units need to go through a systemwide review. UCORP and Provost Dorr agreed that, under UC's system of joint governance, research entities that receive systemwide funding should be periodically reviewed by the Academic Senate, with UCORP as lead committee.

6. Status of the Office of Research and Graduate Studies

UCORP learned that the Innovation Alliances and Services portion of the Office of Research and Graduate Studies will be spun off into a new Office of Research Innovation and Entrepreneurship, led by a new Senior Vice President reporting directly to President Napolitano. On May 12 the Regents approved Christine Gulbranson as senior vice president for research innovation and entrepreneurship at UCOP.

In the fall, UCORP consulted with Provost Dorr on the expectations and job description for the open position of Vice President for Research and Graduate Studies. UCORP Chair Judith Habicht Mauche served on the search committee for the new Vice President of RGS and provided updates to UCORP on the progress of the search.

7. Additional updates and items
UCORP heard updates from ORGS consultants about state and federal legislation, the impact of a Congressional investigation into fetal tissue research, proposed changes to the Common Rule, indirect cost recovery delegations of authority, the need for a new UC policy on conflict of interest disclosures, and a recently established "center of excellence" for drone use at UC Merced. UCORP consulted for the second time on a proposed Openness in Research Policy brought by Research Policy Analysis and Coordination. The policy drafters will continue to seek input and will revise the policy in preparation for review next year.

NATIONAL LABORATORIES
UC Vice President for the National Laboratories Kim Budil attended UCORP meetings to provide updates on the National Labs and the status of the Los Alamos contract. The Office of National Laboratories is interested in building and strengthening relationships between campuses and the labs, and welcomed suggestions for bringing lab opportunities to the attention of the campuses. Suggestions offered by UCORP members included on-campus colloquia and presentations, hands-on instruction in how to collaborate with the national labs, and how to prepare a proposal for the UC Laboratory Fees Research Program. In April, 2016, discussion was wide-ranging and delved into the extent of UC's involvement in the labs, the mission-driven projects and work priorities of the labs, research output, national security, intellectual property rights, and more.

INFORMATION TECHNOLOGY
Research Infrastructure: UCORP heard from UCOP CIO Tom Andriola about a proposed cyberinfrastructure initiative to support UC's research enterprise. Still in the planning stages, the proposed campus-led "alliance" is seeking seed funding. The infrastructure is anticipated to include access to collaboration tools, an expertise service, support of data as research assets (to be managed, curated, published and preserved), and connected and interoperable platforms. UCORP will keep abreast of actions in this area so that campus faculty are informed.

Cybersecurity: In June, 2016, CIO Tom Andriola provided an update on the status of network security measures that are being considered and undertaken by UC. UC will sign a systemwide contract with a security vendor and will mandate a minimum level of network security. However, each campus and health center will be locally responsible for working out the details, including any additional security measures.

AGRICULTURE AND NATURAL RESOURCES (ANR)
The Vice President of Agriculture and Natural Resources (ANR) Glenda Humiston gave an overview and provided background on the work of ANR and its relation to the campuses and the university as a whole. UCORP will continue to foster the consultative relationship with ANR on topics such as program priorities, grant decisions, and academic issues.

ADDITIONAL BUSINESS
New Federal Rules for Overtime Pay: In June, 2016, UCORP received an update from Vice President of Academic Personnel and Programs Susan Carlson and Diversity, Labor and Employee Relations Director Amy Lee about new federal rules for overtime pay that

go into effect on December 1, 2016. These rules will impact researchers because research assistant salaries are generally below the threshold for overtime pay and will now have to be categorized as "non-exempt" positions eligible for overtime pay (over 40 hours per week) or increased to meet the threshold. Estimates indicate that it will cost $36 million to raise all post-docs up to the minimum salary of $47,476. Final decisions on UC's course of action will rest with Provost Dorr.

Systemwide issues and campus reports: UCORP devoted part of each regular meeting to discussing systemwide issues as reported by Academic Senate leadership and reports on issues on individual campuses.

SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE REPORT
In addition to the above, UCORP responded to requests for systemwide review of policies and items of systemwide import:
- Systemwide Review of Proposed Revisions to the Academic Personnel Manual (APM) Sections on Clinical Series Titles (Revised 278, 210-6, 279, 112, and new Section 350)
- Management Review of Draft Presidential Policy on International Activities
- Proposed Revisions to Senate Regulations 417 and 621
- Proposed Revised Presidential Policy on Sexual Violence and Sexual Harassment
- Regents Item J2 – Proposed Revisions to the Governance of UC Health

UCORP REPRESENTATION
UCORP Chair Judith Habicht Mauche participated on the following systemwide bodies during the year: Academic Assembly, Academic Council, Academic Council Special Committee on Lab Issues, Academic Council Special Committee on Agriculture and Natural Resources, and the Academic Planning Council. Chair Habicht Mauche also served on the search committee for a new Vice President for Research and Graduate Studies. Throughout the year, the Chair provided updates on the activities of these groups.

ACKNOWLEDGEMENTS
UCORP members would like to acknowledge their UCSF colleague Dieter Gruenert, who passed away in April.

UCORP is most grateful to its consultants, who have provided invaluable information and perspective to the committee: William Tucker, Interim Vice President for Research and Graduate Studies (ORGS); Mary Croughan, Executive Director for Research Grants and Program Office (RGPO), ORGS; Kathleen Erwin, Director, UC Research Initiatives, RGPO; Wendy Streitz, Executive Director for Research Policy Analysis and Coordination (RPAC), ORGS; Jeff Hall, Director of Research Policy Development (ORGS); and Kimberly Budil, Vice President for the National Laboratories. Christopher Spitzer from UC Research Initiatives was enormously helpful in tracking, compiling, and organizing the materials for the UC MEXUS review.

UCORP also wishes to thank its invited guests and campus alternates for their participation and support, as well as colleagues across the system who brought to the attention of the committee research-related issues of concern.

Respectfully submitted, UCORP 2015-16:

Judith Habicht Mauche, Chair (UCSC)
Srikantan Nagarajan, Vice Chair (UCSF)
Ramona Naddaff, UCB
David Pleasure, UCD
Edward Dimendberg, UCI
Mark Cohen, UCLA
Deborah Wiebe (fall) / Ajay Gopinathan (spring), UCM
Richard Arnott, UCR
Isaac Martin, UCSD
Dieter Gruenert, UCSF
Jeffrey Richman, UCSB
Steve Whittaker, UCSC
Alexander Dodge, Undergraduate Student Representative (UCSD)
Rachel Hatano, Graduate Student Representative (UCR)
J. Daniel Hare, Chair, Academic Senate, *Ex Officio* (UCR)
James Chalfant, Vice Chair, Academic Senate, *Ex Officio,* (UCD)
Joanne Miller, Committee Analyst (UCOP)