

## University Committee on Research Policy

### Annual Report 2017-18

#### **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. UCORP met nine times during the 2017-18 academic year, including three meetings held via videoconference. This report summarizes the committee's activities during the year.

#### **1. MRU Review – Institute of Transportation Studies**

Much of UCORP's time in 2017-18 was dedicated to the five-year review of the Institute of Transportation Studies, a multicampus research unit (MRU) with branches at Berkeley, Davis, Irvine, and UCLA. One representative each from CCGA and UCPB joined UCORP to form the "review committee." The review committee based its work on the MRU review outline provided in the "Guidelines for Five-Year Reviews of Multicampus Research Units" (Appendix H of the "Compendium: Universitywide Review Processes for Academic Programs, Academic Units, and Research Units").

In February, the four ITS branch Directors and the newly-hired statewide coordinator joined the UCORP meeting for an in-person discussion. The review committee's report was completed in April and sent to the Academic Council for approval and transmittal to the Vice President for Research and Graduate Studies. At its April 25, 2018, meeting, the Academic Council approved the Five-Year Review of the ITS.<sup>1</sup> With respect to future MRU reviews, UCORP recommended to VP Ellis that it would be helpful for the UCORP Chair to meet with the MRU Director(s) early on in the year to clarify any potential issues related to the review process.

#### **2. Topical Presentations: UC and Climate Change and Assistance for Puerto Rican Scholars Affected by the 2017 Hurricane**

At the beginning of the year, UCORP members expressed interest in learning more about topical subjects such as climate change and aid to colleagues and students impacted by the recent hurricanes in Puerto Rico. For its last meeting of the academic year, UCORP invited two experts to discuss UC's work in combatting climate change and the efforts by UC Davis to serve as an "Academic Harbor" for students from Puerto Rico.

UC Berkeley Professor Daniel Kammen was one of the primary authors of the UC report "Bending the Curve," which describes approaches that can potentially reduce the projected global temperature increase. Professor Kammen presented an overview of climate change issues and talked about innovations in carbon neutrality and climate stability. He noted that California has been successful in reducing carbon emissions due to the combined efforts of the industrial, commercial, and residential sectors.

---

<sup>1</sup> <https://senate.universityofcalifornia.edu/files/reports/SW-AE-ITS-MRU-Review.pdf> (last accessed 6/29/18)

UC Davis Professor Samuel L. Díaz-Muñoz discussed the efforts made at UC Davis to help students in Puerto Rico after last year's hurricane. Díaz-Muñoz was joined by Rosemary Martin-Ocampo, UC Davis Chief Administrative Officer for Graduate Studies. Nine faculty members and two staff members at UC Davis with ties to Puerto Rico united together with campus leadership to issue a call for support after the devastating hurricane hit Puerto Rico last fall, resulting in sponsorship for three graduate student scholars. Professor Díaz-Muñoz sees the effort as a template that can be used for universities to help communities after disasters in the future.

The presentations by Professor Kammen and Professor Díaz-Muñoz will help to inform UCORP activities in the next year.

### **3. Reproducibility and authentication issues in the biological sciences**

UCSD Professor Maryann Martone and Dr. Anita Bandrowski described their work on Research Resource Identifiers (RRIDs) to UCOP Vice President for Research and Graduate Studies Arthur Ellis, who had suggested that they get input from faculty via the Academic Senate. Dr. Bandrowski joined the November UCORP meeting via video to provide information about RRIDs. After considerable investigation and discussion before and after the November meeting, the committee sent a letter to VP Ellis on January 9, 2018, summarizing the issue and describing various considerations, findings, and questions for further consideration. The letter also suggested that VP Ellis' office plan a workshop or forum along with campus Vice Chancellors for Research. VP Ellis said that he would share UCORP's letter with the Council of Vice Chancellors for Research. He later wrote to inform UCORP that the National Academies was conducting an assessment of "research and data reproducibility and replicability issues." UCORP has a continuing interest in these fundamental questions and hopes to see UC play a leadership role in addressing them.

### **4. Export control policy**

Development of an export control policy was mandated by US State Department after UC self-disclosed violations of federal export control law. The policy is meant to inform the UC community about existing law and to provide a framework to ensure compliance. In last year's review of the draft policy, the Academic Senate suggested that there be additional context and some type of awareness, education, or training effort.

This year, upon request from Academic Council Chair Shane White, UCORP reviewed the revised policy and the accompanying FAQ. The committee concluded that the revised policy was reasonable, but also requested a status report in 2018-19 to review progress and problems in implementing the policy and to assess its impacts on research. Based on UCORP's review, the Academic Council endorsed the revised policy at its April meeting.

### **5. UC Unmanned Aircraft System (Drone) Policy**

The UC Unmanned Aircraft System (Drone) Policy went into effect in February. While oversight for policy will be at the systemwide level, with a systemwide advisory board that has not yet been convened, oversight for drone use will be the responsibility of each UC location. The policy requires campuses to establish a designated local authority and

to determine their own standard operating procedures within the overall framework. A UC drone web application expedites the flight approval process and collects information from UC's drone users that goes into a central repository for analysis, even for flight requests that are denied. In May, Dr. Brandon Stark, a drone expert and Director of the UC Center of Excellence on Unmanned Aircraft System Safety, and Ken Smith, Executive Director for Environment Health & Safety in UCOP's Office of Risk Services, joined the UCORP meeting to talk about the large range of drone activity within UC and the need for a UC policy. UCORP became involved in evaluating the policy due to vocal opposition expressed by a faculty member. The committee formally responded with a letter that was endorsed by the Academic Council on July 25, 2018, and subsequently sent by Council Chair Shane White to the UC Executive Director for Environment, Health, and Safety Ken Smith on August 3, 2018.<sup>2</sup> The letter documented UCORP's findings on the review process for the policy, and made a set of detailed recommendations on how to assess the effectiveness and impacts of the policy and its implementation over the next year. After this period, these issues will be re-examined by UCORP.

#### **6. Bid for the management contract for the Los Alamos National Laboratory**

To ensure that the Academic Senate, including all its divisions, was informed of UC's decision to submit a bid to manage the Los Alamos National Laboratory for the Department of Energy's National Nuclear Security Administration, Chair Richman brought a statement from Vice President Kim Budil to the November 29, 2017, meeting of the Academic Council. Richman read this statement and answered questions from Academic Council members. The statement noted that the submission of a bid had been authorized by the UC Board of Regents on November 16, 2017, and that UC was committed to assembling a proposal that “upholds this long tradition of public service, advances scientific and technological excellence, acknowledges and respects the importance of its world-class workforce, and ensures the continued high quality and integrity of its critical national security missions.” The statement was also sent to the chairs of the divisions of the Academic Senate to distribute locally according to their standard practices.

#### **OFFICE OF RESEARCH AND GRADUATE STUDIES – UPDATES AND CONSULTATION**

As consultants to the committee, members of the Office of Research and Graduate Studies (ORGS) joined UCORPs meeting each month to provide updates and solicit feedback.

*Collective Excellence* - Vice President for Research and Graduate Studies Arthur Ellis thanked UCORP for the important input the committee provided last year for the “Collective Excellence” document that is now posted on the UCOP website. The document identifies nontraditional aspects of the research enterprise that might otherwise be overlooked.

---

<sup>2</sup> <https://senate.universityofcalifornia.edu/files/reports/SNW-KS-UAS-Policy.pdf> (last accessed 10/1/2018)

***Cannabis Research*** – Although recent California law legalized marijuana for nonmedical adult use, it is still a federally controlled substance and UC researchers who are interested in marijuana-related research will need to follow special requirements. UCOP has a [Guidance Memo](#) with information for UC researchers and research administrators on the effect of new law for marijuana research conducted at UC. Because decisions made by one campus could affect all of UC, the conclusion was to keep a centralized authority for decision-making at UCOP. UCORP members were asked to make sure that campus COR members were aware of the Guidance Memo and the assistance available from Research and Grants Offices and campus counsel.

***Cesium Irradiator Replacement Program*** – The Cesium Irradiator Replacement Program is an opportunity currently offered by the federal government for ending the use of cesium irradiators. VP Arthur Ellis informed UCORP about the offer, which was also communicated to Chancellors and Vice Chancellors for Research. UCORP raised some concerns about research competitiveness that will have to be handled locally on the campuses, along with the decision about whether and how to participate in this program.

***UC Laboratory Fees Research Program*** – The UC Laboratory Fees Research Program is funded by a portion of the payment that the University receives for its management of the Los Alamos and Lawrence Livermore National Labs. Grants are used for enhancing collaboration, supporting undergraduate research opportunities, and promoting science and research at the labs. This year, three targeted areas of research were selected to leverage UC-national lab synergy: national security through social sciences, climate science, and cybersecurity. The two funding opportunities are a “UC Multicampus-National Lab Collaborative Research and Training (UC-NL CRT) Award” and a “UC-National Lab In-Residence Graduate Fellowship.”

***Guiding principles/value proposition for joint appointments between UC’s campuses and affiliated national labs*** – UCOP asked for input on guiding principles for an institutional-level template for joint appointments between UC campuses and the national laboratories that could be customized on a campus or individual basis. There are currently a range of joint appointments around the system, ranging from “courtesy” to 50/50. Once finalized, the template will be available and campuses will be alerted.

***California Legislation Update*** – UCORP learned about proposed State legislation aimed at UC that requires compliance with standards for dealing with Native American remains. While the bill seems to ignore UC’s constitutional autonomy, it has a lot of public support. Most of the Native American remains and artifacts are at UC Berkeley, but Davis, UCLA, and Santa Barbara also have collections. UCOP’s State Governmental Relations staff will work with the legislature to make some changes to the bill. Meanwhile, UC will be revising its own policy.

#### **OFFICE OF THE NATIONAL LABORATORIES – UPDATE**

UC Vice President for the National Laboratories Kim Budil joined UCORP in the fall to provide updates on the National Labs and the status of the Los Alamos contract bidding process. Preparations for the bid (which UCORP learned in June was ultimately successful) required a major effort on the part of the Office of the National Laboratories,

which resulted in a delay in work on the White Paper describing the relationship between UC and the NNSA labs at Los Alamos (LANL) and Livermore (LLNL). However, it is extremely important that this document be completed once the bid process is completed. UCORP members informed their local Committees on Research about the UC-led bid, and Chair Richman informed the Academic Council, as noted elsewhere in this report. The goal of these efforts was to ensure that the UC faculty were duly informed about the process.

The committee also learned about the Hertz Hall site at Lawrence Livermore National Lab that UCOP is taking over from Davis and repurposing as a systemwide asset to be used for collaborations. UC and LLNL personnel are spreading the word to the campuses and trying to identify faculty members who may be interested in partnering and taking advantage of the opportunity for strengthened engagement with the lab.

#### **OFFICE OF RESEARCH INNOVATION & ENTREPRENEURSHIP – UPDATE**

Senior Vice President Christine Gulbranson joined the May meeting to give an update on the work of the [Office of Research Innovation and Entrepreneurship](#). The Office was created through the Innovation & Entrepreneurship Presidential initiative to leverage and combine the promotional efforts of the campuses and labs. The Office works with campuses on policy-related issues and supports technology transfer operations such as patent tracking, patent prosecution, and accounting. SVP Gulbranson informed UCORP members about the “I am a UC Entrepreneur” campaign that invited students, faculty, staff and post-docs to submit their stories to be highlighted on a website and via other venues. Nineteen UC entrepreneurs were selected for a chance to meet and pitch ideas to venture capitalists at a lunch hosted by UC President Janet Napolitano and SVP Gulbranson.

#### **AGRICULTURE AND NATURAL RESOURCES (ANR) – UPDATE**

In May, ANR Vice President Glenda Humiston joined UCORP to update the committee on the latest activities of the Division of Agriculture and Natural Resources. ANR works with over 300 partners around the state. VP Humiston focused on the public service that UC provides to the people of California through ANR. She mentioned the “Elevate Rural California” effort to support workforce and economic development activities. A recent State budget bill charges UC and CSU to create a wood products institute to develop new and expanded uses for wood products that can use the millions of dead and dying trees in the Sierras.

VP Humiston also discussed data hubs and networks to support agricultural entrepreneurship, as well as ANR’s continued efforts to increase “citizen scientist” opportunities for youth and adults through programs such as 4-H and the Citizen Scientists Center.

#### **SYSTEMWIDE ISSUES AND CAMPUS REPORTS**

UCORP devoted part of each regular meeting to discussing systemwide issues as reported by Academic Senate leadership and reports from members on campus COR issues.

### **SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE REPORT**

- Taskforce Report on the Negotiated Salary Trial Program (November 17, 2017)
- Reproducibility of research results in the biological sciences (January 9, 2018)
- Revised UC Export Control Policy (April 16, 2018)
- UCOLASC request for endorsement of “Declaration of Rights and Principles to Transform Scholarly Communication” (May 22, 2018)
- Proposed Presidential Policy on Disclosure of Financial Interests and Management of Conflicts of Interest in Private Sponsors of Research and Revised APM – 028 (June 13, 2018)
- Revised Unmanned Aircraft Systems (UAS) Policy (July 18, 2018)

### **UCORP REPRESENTATION**

As Chair of UCORP, Jeffrey Richman served on the Academic Assembly, Academic Council, and the Academic Planning Council. Chair Richman also represented UCORP on the Academic Council Special Committee on Lab Issues (ACSCOLI).

### **ACKNOWLEDGEMENTS**

UCORP is most grateful to its consultants, who have provided invaluable information and perspective to the committee: Arthur Ellis, Vice President for Research and Graduate Studies (ORGS); Kathleen Erwin, Director, UC Research Initiatives; Wendy Streitz, Executive Director for Research Policy Analysis and Coordination, ORGS; Emily Rader, Portfolio Manager, ORGS; Lourdes DeMattos, Research Policy Manager, ORGS; Glenda Humiston, Vice President for Agriculture and Natural Resources; and Kimberly Budil, Vice President for the National Laboratories. Nick Anthis from UC Research Initiatives helped to edit, prepare, and compile the materials for the ITS 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 2017-18:

Jeffrey Richman, Chair (UCSB)  
Andrew Baird, Vice Chair (UCSD)  
Irina Conboy, UCB  
Dietmar Kueltz, UCD  
Nasrin Rahimieh, UCI  
Leif Havton, UCLA  
David Noelle, UCM  
K.K. Ramakrishnan, UCR  
Brian Eliceiri, UCSD  
Janet Myers, UCSF  
Harry Nelson, UCSB  
Dejan Milutinovic, UCSC  
Shane White, Chair, Academic Senate, *Ex Officio*  
Robert May, Vice Chair, Academic Senate, *Ex Officio*  
Joanne Miller, Committee Analyst (UCOP)