

University Committee on Research Policy

Annual Report 2018-19

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; formulating, coordinating, and revising general research policies and procedures; and advising the President on research. UCORP met nine times during the 2018-19 academic year, including two meetings held via videoconference. This report summarizes the committee's activities during the year.

MRU REVIEWS – UC HUMANITIES RESEARCH INSTITUTE (UCHRI) AND THE INSTITUTE FOR NUCLEAR AND PARTICLE ASTROPHYSICS AND COSMOLOGY (INPAC)

In 2018-19 UCORP led two five-year reviews for the Academic Senate. The committee split into two groups and, per the 2014 Compendium's "Guidelines for Five-Year Reviews of Multicampus Research Units," added representatives from CCGA and UCPB to conduct reviews of the UC Humanities Research Institute (UCHRI) and the Institute for Nuclear and Particle Astrophysics and Cosmology (INPAC). The two reports were completed in April and sent to the Academic Council for approval and transmittal to the Vice President for Research and Graduate Studies. At its May 22, 2019, meeting, the Academic Council approved the Five-Year Reviews.

The UCHRI Review Committee concluded that UCHRI 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. The Committee recommended that UCHRI continue as an MRU and made suggestions regarding increased communication, transparency, participation and diversity.

The INPAC Review Committee found that the INPAC MRU played an important role in dark matter research even beyond UC. It used local and central funding to catalyze new research and training and, by providing different core capacities, helped its members to launch significant and extramural funding research projects. In recent years, however, the loss of central support has led to a waning of its activities. The Committee recommended that INPAC should reinvigorate its stakeholders by engaging in strategic planning for future governance and succession planning, revising its organizational framework, developing a sustainable funding plan, and organizing outreach.

MRUS AND OTHER SYSTEMWIDE RESEARCH PROGRAMS

Although there is an updated list of nine MRUs (multicampus research units) that have verified their interest in continuing as designated MRUs within the UC system, other multicampus activities exist outside of the formal MRU designation. UCORP was provided with list of these organizations and members discussed mechanisms to monitor the accomplishments of these units. Topics identified for future discussion included defining the requirements for MRU status and determining whether – and how – funding should be attached to formal designation as an MRU.

The committee also discussed the current MRU review process and potential changes to simplify the procedure for five-year MRU reviews.

FEDERAL GOVERNMENT CONCERNS AROUND SENSITIVE INFORMATION IN INTERNATIONAL AGREEMENTS

UCORP members were briefed on the activities of two “Tiger Teams” convened by the President and Council of Chancellors to provide guidance and recommendations on vulnerabilities associated with international students and on sensitive information related to international agreements. UCORP members noted that as the landscape of research changes, effective communication will become even more critical within UC and nationally. Members offered several suggestions to improve the dissemination of information on campuses including better use of local campus CORs.

In June, UC’s Chief Compliance and Audit Officer Alexander Bustamante joined the meeting with Systemwide Research Compliance Officer Shanda Hunt to discuss UC’s compliance plans in response to the governments concerns on sensitive information and to seek UCORP’s input. UCORP members expressed concern about the February letters from President Napolitano and the potential of escalation procedures particularly in regards to potential racialization. UCORP was informed that compliance plans will focus on conflicts of commitment and conflicts of interest, not national origin, with an overarching goal of protecting research integrity. UCORP was supportive of activities that can preemptively prevent onerous and potentially over reaching governmental regulations on research, scholarly activities and academic freedom.

FETAL TISSUE RESEARCH AND THE INCREASED POLITICIZATION OF SCIENCE

UCORP discussed how the committee would respond to proposed restrictions from the federal government on the use of fetal tissue for research and expanded discussions to the much larger issue of increased politicization of science. UCORP and the University Committee on Academic Freedom (UCAF) wrote letters to the Academic Council urging the Academic Council and the University to take a strong stand against the ongoing politicization of research and research funding. The letters were endorsed by the Academic Council in February, and forwarded to President Napolitano on March 4.¹

COMPOSITE BENEFIT RATE

Last year, UCORP members were advised of problems in the implementation of the “Composite Benefit Rate” structure when it had been rolled out at some campuses. The change from actual benefits to composites was meant to provide a simplified and predictable way to forecast employee benefit costs throughout the UC system. However, it caused problems for some multi-year sponsored awards and research grants. UCORP, in conjunction with UCFW, brought the matter to the attention of the Academic Council, which sent a letter to President Napolitano.² As a result, additional mitigation efforts on the campuses were identified.

¹ <https://senate.universityofcalifornia.edu/files/reports/rm-jn-politicization-of-science.pdf>

² <https://senate.universityofcalifornia.edu/files/reports/rm-jn-composite-benefit-rates.pdf>

TOPICAL PRESENTATION: UC AND CLIMATE CHANGE

Last May, UC Berkeley Professor Daniel Kammen spoke at a UCORP meeting in the spring about innovations in carbon neutrality and climate stability. This year, UCORP followed up on its interest in UC's work on climate change with a presentation by some of UC's foremost experts: UC Davis Professor Ben Houlton, Professor V. "Ram" Ramanathan of UCSD/Scripps, and UC Merced Professor Roger Bales. They were joined by UCOP Associate Vice President for Energy and Sustainability David Phillips. Professors Houlton and Ramanathan are co-chairs of the California Collaborative for Climate Change Solutions (C4S), which was founded at UC but has expanded to include institutions throughout the state. Its mission is to "accelerate the translation of research findings into practical climate solutions, to test innovative technologies through high-impact pilot projects, and to rapidly scale promising solutions to the national and global level." An outcome of the "Bending the Curve" Report,³ the next steps for C4S are to establish a formal MOU, convene a scoping committee, institutionalize the organization within UC, and expand to other partners. The co-chairs asked UCORP for input on how to achieve this within the university structure.

Professor Ramanathan described a hybrid course⁴ based on "Bending the Curve" that was developed at UC and is now available for use worldwide. At UCOP, the UC Global Climate Leadership Council was formed in 2014 to advise on UC's carbon neutrality and sustainability goals. UCORP members learned that UC is an electricity service provider that uses solar and wind energy sources.

Professor Bales described a proposed resolution for UC faculty that asks campus leaders to acknowledge that achieving carbon neutrality is core to UC's mission and to prioritize activities to assure that the 2025 carbon neutrality goal is met. The resolution asks faculty at all levels get engaged to help address the challenge of climate change and for UC to develop mechanisms to address, describe, and communicate the urgency of climate change and the importance of sustainability. UCORP Chair Baird brought a version of the resolution to the Academic Council for discussion in June.

UC UNMANNED AIRCRAFT SYSTEM (DRONE) POLICY

In April, Brandon Stark, the Director of the UC Center of Excellence on Unmanned Aircraft System Safety and UCOP Environmental Health and Safety Executive Director Ken Smith provided UCORP with an update on the implementation of UC's Drone Policy. The UC Unmanned Aircraft System (Drone) Policy went into effect February 2018. The implementation included a web application that collects information from UC's drone users and goes into a central repository. UC has been collecting and analyzing the data to find out where there may be issues. The implementation is still fairly new, but UCORP was impressed with the work being done by and the follow-up to UCORP's recommendations from last year. In June, UCORP Chair Andrew Baird sent a letter to Academic Council Chair Robert May conveying the committee's findings.

OTHER TOPICS COVERED BY UCORP THIS YEAR INCLUDED:

³ <https://www.collabra.org/collections/special/bending-the-curve/>

⁴ <https://bendingthecurve.ucsd.edu>

Self-Supporting Programs – UCORP members expressed concern about the proliferation of self-supporting programs on some campuses and their impact on the research enterprise. UCORP learned that a comprehensive review of UC’s self-supporting programs is underway by other Academic Senate committees, and so committee members agreed to follow up next year.

RIMS – The committee learned about Research Information Management Systems (RIMS), which are software and services that aggregate, curate, and utilize information about research, generally for measurement purposes. For-profit companies are using UC data and marketing their commercial products to academic units and research administrators for use in faculty evaluations among other purposes. A new study from the office of the systemwide Provost will seek to catalog and understand the use of these systems on the campuses.

UC Affiliations – UCORP endorsed the summary of the “Interim Report of the UC Academic Senate UC Non-Discrimination in Healthcare Task Force” that the university should stand by its mission and values in its affiliations. At the behest of Academic Council Chair Robert May, UCORP members discussed a proposed affiliation between UCSF and Dignity Health that would greatly expand UCSF’s clinical catchment area. While UCORP recognized and supported UCSF’s need for more space, the proposed affiliation lacked detail and potentially did not align with UC’s stated values. UCORP also felt that the possibility of alternative means to the end had not been explored.

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.

NAGPRA – UCORP learned that a bill passed by the legislature in September meant that UC had to prioritize the repatriation of Native American artifacts and remains over scientific and research value. Over the course of the year, UCOP established an advisory committee to oversee the big picture and make recommendations and a working group to review and revise the current UC policy.

Cannabis Research – UCOP continues to offer guidance for UC researchers and research administrators regarding funding and legal requirements around marijuana-related research.

Cal-ISIs – UCORP members were asked for input regarding a potential review of the California Institutes for Science and Innovation (Cal-ISIs) that were established under Governor Gray Davis twenty years ago. Members suggested that, using a campus ORU-review model, an ad-hoc group be convened to serve as a review committee for the CalISIs. This would provide for a more rigorous review process, and enable UCORP members to participate as individuals.

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. UCORP provided feedback on the proposed LFRP thematic areas for 2019. UCORP suggested using metrics to assess the success of the program and proposed that smaller awards be available for pilot projects. Three thematic areas that were selected after consultation with stakeholders at the campuses and the national laboratories were: accelerator research, quantum information science, and wildfire-related research.

Multicampus Research and Programs and Initiatives (MRPI) – UCORP received updates on the 2019 Multicampus Research Program Initiative (MRPI), which provides funding for planning/pilot projects and for larger collaborative projects (new or established). \$9 million, over two years, was awarded to sixteen proposals. Each awardee provides an annual progress report that includes information on students, publications, and intellectual property. Evaluation metrics for the program include how funding was leveraged.

Valley Fever Research RFP – The Office of Research provided regular updates on the new funding provided by the State for Valley Fever Research. UC was able to award \$3 million (combined) to two Valley Fever research projects.

New Reporting Requirements for Sexual Harassment, etc. – UCORP learned about proposed legislation in the wake of new requirements from NSF for reporting harassment and sexual assault. UCOP’s Office of Legislative Analysis and Federal Government Relations provided input on UC’s behalf. The NSF requirements took effect in October, and will mean that more communication will be needed between the campus reporting office (e.g., Title IX) and the Contracts and Grants Office.

RGPO Current State Assessment Report and Recommendations for the “Future State”
The “Current State Assessment” investigation was one of the outcomes of the State audit of UCOP in 2016, which suggested that UC take a closer look at some systemwide programs, including RGPO (Research Grants Program Office). The main areas of interest were where RGPO should be based and current and future funding streams. UCORP members discussed the role of the Academic Senate in oversight, the pros and cons of expanding RGPO, the rapidly changing landscape of science funding, and the need for metrics to evaluate success of the programs.

OFFICE OF THE NATIONAL LABORATORIES – UPDATE

Vice President for National Laboratories Kim Budil joined the November UCORP meeting to give an update on the status of the National Laboratories and UC’s involvement. In October, UC, along with its Triad LLC partners Battelle and Texas A&M University, took over the management and operations contract for Los Alamos National Laboratories. The management contract for Lawrence Livermore National Laboratory could run until 2026 if the grades continue to be good. In February, UCORP members learned that VP Budil was leaving UCOP to return to Lawrence Livermore Lab. Her interim replacement is Craig Leasure, formerly a principal associate director at Los

Alamos National Lab, who was hired in November as Associate VP for the National Labs.

AGRICULTURE AND NATURAL RESOURCES (ANR) – UPDATE

ANR Vice President Glenda Humiston joined UCORP twice in 2018-19 to provide updates on the latest work of the Division of Agriculture and Natural Resources, including partnerships with UC campuses such as UCSF’s Global Health program the UC Merced School of Engineering. Associate Vice President for ANR Wendy Powers joined the June UCORP meeting via video in June.

ANR has a new Governing Council to provide oversight and promote a greater understanding of ANR across the university. Members of the Council include the systemwide Provost, CFO, a Vice Chancellor for Research, deans, three Academic Senate members, and representatives from the State. VP Humiston suggested that she or AVP Powers join UCORP meetings more frequently to promote better communication between the Academic Senate and ANR. It was agreed that more interactions could be useful in fostering relationships and spreading information. UCORP members mentioned that webinars or an “ambassador speaker” program might be useful for exposing more UC researchers to the work of ANR.

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

- Current Assessment Report of Systemwide Mexico Entities (September 24, 2018)
- Proposed Revised Presidential Policy on Sexual Violence and Sexual Harassment (December 5, 2018)
- Proposed Revisions to Presidential Policy on Use of Vehicles and Driver Selection policy (BFB-BUS-46) (January 14, 2019)
- Restrictions on Fetal Tissue Research and the Politicization of Scientific Research (January 18, 2019)
- Composite Benefits Rates - Concern about Implementation on Some Campuses (March 26, 2019)
- Possible affiliation between UCSF and Dignity Health (May 16, 2019)
- Principles to address the climate change challenge (June 11, 2019)
- Drone Policy Follow-Up (June 28, 2019)
- Research Grants Program Office (RGPO) Review (July 17, 2019)

UCORP REPRESENTATION

As Chair of UCORP, Andrew Baird served on the Academic Assembly, Academic Council, and the Academic Planning Council. Chair Baird and Vice Chair Nasrin Rahimieh served on UC “tiger teams” on international students and international agreements. Chair Baird also represented UCORP on the Academic Council Special

Committee on Lab Issues (ACSCOLI) and the UCPB Task Force on Agriculture & Natural Resources (TFANR).

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From the Office of Research and Graduate Studies:

- Arthur Ellis, Vice President
- Bart Aoki, Executive Director, Research Grants Program Office
- Kathleen Erwin, Director, UC Research Initiatives
- Wendy Streitz, Executive Director, Research Policy Analysis and Coordination
- Janna Tom, Director, Research Policy Analysis and Coordination
- Emily Rader, Portfolio Manager
- Lourdes DeMattos, Associate Director, Research Grants Program Office

From the Division of Agriculture and Natural Resources:

- Vice President Glenda Humiston,
- Associate Vice President Wendy Powers

From the Office of the National Laboratories:

- Kimberly Budil, Vice President

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:

Andrew Baird, Chair
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