

University Committee on Research Policy

Annual Report 2020-21

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 seven times during the 2020-21 academic year. Due to the Covid-19 pandemic, all meetings were held via videoconference. This report summarizes the committee's activities during the year.

REVIEWS OF MULTI-CAMPUS ENTITIES

There were no MRU reviews during the 2020-21 academic year. Instead, UCORP used its time to focus on the big picture of multicampus research entities at UC. The committee gathered information on the broader portfolio of cross-campus initiatives, which includes non-MRU systemwide programs, non-MRUs at the campus level, and statewide research programs, as well as the Multicampus Research Programs and Initiatives (MRPI) award, which offers competitive grants to multi-campus groups in two- and four-year cycles. In the process of gathering information, UCORP learned about two previous reviews of the systemwide research portfolio, the "Portfolio Review Group" in 2012-14 and a partial review conducted as a result of an audit of UCOP in 2017.

Related to the discussions held at UCORP meetings, the Office of Research & Innovation proposed an interim Multicampus/ Systemwide Research Review Working Group that would develop guidelines for review and oversight of systemwide research entities and plan the relaunch of the Council on Research that existed prior to 2014. The interim group, which convened in the spring, included five Vice Chancellors of Research, VP Theresa Maldonado and staff from the Office of Research & Innovation, and the UCORP Chair and Vice Chair. The new Council on Research is expected to be established in the fall.

UCORP acknowledged that the effort and resources required to provide proper oversight are substantial, but that it is necessary for multicampus research entities to have ongoing review individually and as a portfolio of activities by UC faculty and administration. A sustainable process for assessment that includes transparency, communication, and coordination is needed. In addition, UCORP agreed that Senate efforts should be focused on discretionary programs and funding, and working with the administration to develop guiding principles for strategic and prioritized use of discretionary funds.

ANIMAL RESEARCH

Vice Chair Karen Bales introduced the topic of animal research as an important issue for UCORP to address. The university spends an enormous amount of time defending individual researchers and labs against harassment disguised as requests for information. UCOP Research Policy Manager Dragana Nikolajevic joined the November UCORP meeting to talk about UCOP's work in this area, including the convening of a new "Transparency in Animal Research Working Group" composed of administrators and faculty who work in animal research. UCORP Vice Chair Karen Bales joined the working group and reported back to UCORP on its progress. In March, UCORP sent a letter to the

Academic Council conveying its concerns and asking for Presidential-level support for animal research and researchers, including increased coordination between campuses, a proactive legal strategy, increased lobbying of state and federal government, and a public information campaign to counter widespread misinformation regarding animal research. The letter was endorsed by the Academic Council and forwarded to President Drake on April 6, 2021.¹

CLIMATE CRISIS

UCORP will continue to explore how campus CORs could allocate resources to climate research and whether systemwide funding used for MRPI/MRUs could be used to encourage more research related to the climate crisis. Ideally, current efforts could be coordinated and leveraged to attract new money for the university.

COMMUNICATING THE VALUE OF UC RESEARCH

UCORP spent some time this year talking about how to more effectively communicate the research mission of the university to the legislature and the general public. One idea was to connect UC research with the message of UC as a mechanism for social mobility. In December, Victoria Slivkoff from UCOP's Office of Innovation and Entrepreneurship joined the UCORP meeting. Slivkoff provided a quick review of the Knowledge Transfer Advisory Committee (KTAC) and her role in leading a working group charged with recommending a communications strategy roadmap for disseminating the results of UC research and entrepreneurial endeavors, including reports to the Board of Regents. UCORP members noted that research that is not related to entrepreneurial or commercial success should be included as well.

RESEARCH INFORMATION MANAGEMENT SYSTEMS (RIMS)

At each meeting, UCORP heard from Michele Guindani (UCORP's UC Irvine member), who volunteered to represent UCORP on the Research Information Management Systems (RIMS) Working Group. Research information systems are generally used to aggregate data and generate metrics and statistics for universities and other institutions. They offer sophisticated evaluation tools, but also present a concern as many are licensed by third parties, including big publishers who already collect faculty data. Based on the Working Group's survey that was sent to Vice Chancellors of Research in January, the use of commercial RIMS software is not as widespread as anticipated. Of the 31 reported systems, about 10-15 were from commercial vendors. The Working Group will continue through the summer on understanding the systems reported in the survey and how they are used, e.g., for promotion and tenure, program reviews, or other ways. Additional topics to be addressed by the Working Group are faculty awareness of the systems and usage of UC data by third-party vendors.

CANCER RESEARCH COORDINATING COMMITTEE

Last year, UCORP discussed modifications to the grant-giving program of the Cancer Research Coordinating Committee, a systemwide faculty-led granting agency administered by the Research Grants Program Office at UCOP. There was interest in using a portion of the \$2 million that comes from bequests, donations, and a California voluntary tax form contribution, as funding for cross-campus cancer research collaborations. Until now, the

¹ https://senate.universityofcalifornia.edu/_files/reports/mg-md-support-for-animal-researchers.pdf

center has given seed grants of \$75,000 to individual researchers. In the fall, UCORP learned that the CRCC is willing to make \$375,000 available as matching funds for cross-campus programs between campus cancer centers. CRCC faculty leaders started meeting with UC cancer centers to talk about options. UCORP will follow up next year.

COR SURVEY

At the beginning of the year, members gathered information on their faculty research award funding, and whether there was a desire for additional guidance on flexibility during the pandemic. Most CORs were able to be flexible.

OFFICE OF RESEARCH AND INNOVATION – UPDATES AND CONSULTATION

As consultants to the committee, members of the Office of Research & Innovation joined UCORP each month to provide updates and solicit feedback. Vice President for Research & Innovation Theresa Maldonado provided regular updates on personnel searches and hires, new and ongoing working groups, and the “ramp-up” of research labs after the pandemic shutdown. In April, UC hired a new Executive Director of Research Policy Analysis and Coordination (RPAC), Deborah Motton from UC Merced.

Briefly, updates from the Office of Research & Innovation included:

Foreign Influence – “Foreign influence” – the term used as shorthand for improper foreign government influence – is a bipartisan issue that has gained momentum over the past few years. Concerns from the federal government center around loss of intellectual property to foreign governments. At UC, as at other institutions, the focus is on disclosure of conflict of interest and conflict of commitment. Federal funding agencies are cracking down on improper disclosures, whether due to innocent oversight or intentional misrepresentation. The Office of Research and Innovation will release guidance for faculty on reporting conflict of interest and conflict of commitment later in 2021.

U.S. Innovation and Competition Act (formerly Endless Frontier Act) – In June, UCORP learned about the “U.S. Innovation and Competition Act,” a bi-partisan science and technology funding bill that provides billions of dollars in funding to NSF, DOE, DARPA and others. But the bill also includes research security provisions that create multiple administrative burdens for academic institutions and researchers that are related to conflict of interest and conflict of commitment. UC’s Office of Federal Government Relations (FGR) is working with national education organizations to push back against some of the requirements.

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. In the spring, UCORP was invited to provide feedback on the proposed themes for this year’s Collaborative Research and Training (CRT) award competition. In June, 38 letters of intent had been received for the CRT; full proposals are due in August. In addition, 24 letters of intent were received for the in-residence graduate fellowship

Multicampus Research and Programs and Initiatives (MRPI) – MRPI Program Awards are intended to stimulate novel and compelling multi-campus or systemwide research. Program awards may support new collaborations or established multi-campus endeavors that make significant contributions to advancing the UC systemwide research mission. All proposals must include collaboration between at least three UC campuses, with additional partners encouraged. In 2021, the competition received 226 letters of intent, which were narrowed down to 94 full proposals. Out of the 94 proposals, fifteen projects were selected and will receive a total of \$18.8 million.

Policies:

NAGPRA – Although an interim Presidential Policy on Native American Cultural Affiliation and Repatriation was adopted last July, the Native American Heritage Commission (NAHC) and the governor asked for more time to receive input on the policy due to the Covid-19 pandemic. California law mandates the establishment of UC NAGPRA Oversight Committees at each campus that holds Native American artifacts, plus a UC-wide committee. Nominations for the oversight committees, which will review items and cases, come from the NAHC, although UC provided names of UC faculty members to NAHC.

New UC Data Policy – UCORP provided input to the development of this policy last year. Although many faculty were surprised to learn the extent to which UC owns research data, that was one of the intentions of crafting the policy. The policy also calls upon campus leadership and researchers to work in partnership to manage, retain, preserve, protect, access, and share data.

Openness in Research Policy – A renewed effort to develop an “Openness in Research Policy” for UC. The primary goal of the policy is to aggregate the disparate campus-based statements on UC’s open academic environment, but also to use the opportunity to review the current state of research funding and determine whether there is interest in more flexibility at UC around accepting research funding that comes with publication and/or citizenship restrictions. Some researchers are hitting barriers due to these restrictions, while others feel there are no circumstances when UC should accept restrictions.

Classifications of Gifts and Sponsored Awards Policy – UCORP members had no concerns with the clarifications in this revised policy.

AGRICULTURE AND NATURAL RESOURCES (ANR)

In November, ANR Vice President Glenda Humiston and Associate Vice President Wendy Powers joined UCORP to provide updates on the latest work of the Division of Agriculture and Natural Resources, including a key part of the ANR strategic plan to develop new partnerships within UC and beyond. One element of this is the “Adopt a county/Adopt a campus” program that was proposed to the Vice Chancellors of Research to better understand ANR’s programs and their impact on local communities. In June, Director of South Coast REC and UCCE Orange Darren Haver joined VP Humiston at the UCORP meeting to present and discuss a proposal for a new “Hub for Urban Living” that would facilitate partnerships between UC and other educational institutions, the private sector, and government agencies. Examples of issues related to sustainable urban living included water, forestry, and human/wildlife interaction, and bigger-picture concerns such as climate

change, community engagement, economic development, and diversity, equity and inclusion.

UC OFFICE OF THE NATIONAL LABORATORIES

Vice President for National Labs Craig Leasure and Associate Vice President June Yu joined UCORP's March meeting to provide an update on the work of the Office of the National Laboratories and the status of the three national labs managed by UC: Lawrence Berkeley National Lab, Lawrence Livermore National Lab, and Los Alamos National Lab. VP Leasure talked about the efforts to enhance collaboration between the campuses and the labs through the Lab Fee Research Program (LFRP), the UC/LANL Entrepreneurial Postdoctoral Fellowship Program, and a new postdoctoral fellowship in technology policy in Washington, DC. With support and encouragement from the Academic Council Special Committee on Laboratory Issues (ACSCOLI) VP Leasure is working with administrators at UC and the labs to facilitate joint appointments between the campuses and the labs, in the hope of making it easier for lab employees to work at a campus, and for UC employees to visit the labs.

SYSTEMWIDE SENATE ISSUES, CAMPUS REPORTS, LIAISON 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. Liaisons to other committees and working groups also provided updates at each meeting.

SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE

- Online Undergraduate Degree Task Force Report, November 30, 2020.
- Innovative Learning Technology Initiative (ILTI) Review with Update, February 17, 2021.
- Proposed Revisions to Presidential Policy on IT Recovery, February 17, 2021.
- Academic Planning Council Faculty Salary Scales Task Force Report and Recommendations, February 17, 2021.
- Support for Animal Research at the University of California, March 29, 2021.
- Proposed Presidential Policy BFB-BUS-43 Purchases of Goods and Services; Supply Chain Management, March 23, 2021.
- Proposed Presidential Policy on UC Research Data and Tangible Research Materials, March 23, 2021.

UCORP REPRESENTATION

As Chair of UCORP, Richard Desjardins served on the Assembly of the Academic Senate, Academic Council, and the Academic Planning Council. Chair Desjardins and Vice Chair Karen Bales are members of the interim Multicampus/Systemwide Research Review Working Group. Vice Chair Bales represented UCORP on the UCPB Task Force on Agriculture & Natural Resources (TFANR), UC Berkeley member Javad Lavaei represented UCORP on the Academic Council Special Committee on Lab Issues (ACSCOLI), and UC Irvine member Michele Guindani represented UCORP on the Research Information Management Systems (RIMS) Working Group.

ACKNOWLEDGEMENTS

UCORP is grateful to its regular consultants who have provided invaluable information and perspective to the committee:

- Theresa Maldonado, Vice President for Research & Innovation
- Bart Aoki, Executive Director, Research Grants Program Office
- Kathleen Erwin, Director, UC Research Initiatives
- Janna Tom, Director, Research Policy Analysis and Coordination
- Lourdes DeMattos, Associate Director, Research Grants Program Office
- Emily Rader, Portfolio Manager
- Glenda Humiston, ANR Vice President
- Wendy Powers, ANR Associate Vice President

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

Respectfully submitted, UCORP 2020-21:

Richard Desjardins, Chair
Karen Bales, Vice Chair
Javad Lavaei, UCB
Cynthia Schumann, UCD
Michele Guindani, UCI
Marco Iacoboni, UCLA
Kara McCloskey, UCM
Hai Che, UCR
Tannishtha Reya, UCSD
Lea Grinberg, UCSF
Forrest Brewer, UCSB
Paul Roth, UCSC
Katie Uhl, Graduate Student Representative, UC Davis
Daniel Halpern-DeVries, Undergraduate Student Representative, UC Santa Cruz
Mary Gauvain, Academic Senate Chair, *Ex Officio*
Robert Horwitz, Academic Senate Vice Chair, *Ex Officio*
Joanne Miller, Committee Analyst