University Committee on Research Policy
Annual Report 2016-17

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 eight times during the 2016-17 academic year. This report briefly outlines the committee's activities during the year.

CAMPUS ISSUES: FACULTY GRANTS AND ORU REVIEWS

At the beginning of the year, UCORP spent some time discussing the variety of COR involvement with organized research units (ORUs) and other collaborative research organizations on campus. Members were concerned about the effectiveness of ORU review processes, the inclusion of other collaborative units that do not have the ORU designation, and issues around funding. There is no systemwide standard for review criteria or metrics, and campuses approach ORU reviews in different ways. The information provided by UCORP members on campus review procedures was combined into a shared document.

Over the course of the year, UCORP also discussed the various campus processes for faculty research grant award funding. Information provided by UCORP members showed that procedures and grant amounts varied widely by campus. Two models emerged as the primary methods: 1) minimizing administrative overhead by widely distributing the money, and 2) a "start-up" model of supporting ideas that would otherwise not be able to get funding or to leverage additional funding. In the coming years, UCORP will continue to share "best practices" and ideas for successful faculty grant programs.

RESEARCH AND GRADUATE STUDIES

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.

1. Multicampus Research Unit Reviews

Last June, UCORP and Provost Aimée Dorr agreed that, under UC's system of joint governance, research entities that receive systemwide funding should comply with the Compendium (the manual for "Universitywide Review Processes for Academic Programs, Academic Units, and Research Units") and be periodically reviewed by the Academic Senate, with UCORP as the lead committee. Systemwide oversight of MRUs decreased significantly in the 2000s as UCOP staff were cut, communication decreased, and the review schedule languished. With a new Vice President for Research and Graduate Studies in place this year and a more stable budget, UCORP took the opportunity to strengthen relationships and focus attention on the structures for evaluating MRUs. UCORP began by working with ORGS (the Office of Research and Graduate Studies) to determine which programs currently classified as "MRUs" would

retain their official designation and undergo a formal review as provided in the Compendium.

ORGS staff went through the MRU portfolio and divided the systemwide research programs into those that receive persistent systemwide funding and those that do not receive persistent systemwide funding, but that may have received systemwide funding in the past or are supported in part through competitive awards granted by UCOP. A third category of multicampus research programs includes entities that are not formally classified as MRUs but receive some type of systemwide support. UCORP worked with ORGS to re-establish procedures for the required five-year and fifteen-year reviews for all MRUs. UCORP also assisted ORGS in refining the templates for the annual reports and periodic reviews. As a first step to getting back on track, all MRUs were asked to submit annual reports in time for UCORP's June meeting. UCORP's 2017-2018 agenda will include developing a schedule for five-year reviews of MRUs as well as helping ORGS formulate a process to review other systemwide research entities.

Per the compendium, UCORP leads the five- and fifteen-year reviews in consultation with CCGA (Coordinating Committee on Graduate Affairs) and UCPB (University Committee on Planning and Budget). The committee chairs agreed that CCGA and UCPB would nominate a "consultant" to liaise with UCORP for the 5-year reviews and that the committees would form a joint subcommittee for the 15-year reviews to make sure there is sufficient coordination. The agreement was documented in a letter from UCORP Chair Isaac Martin to the current CCGA and UCPB chairs

2. *UC Laboratory Fees Research Program*

The UC Lab 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. In November, 2016, grant funding of more than $13.5 million over three years, was awarded to four collaboration projects in three targeted areas of research that were selected to best leverage UC-national lab synergy: biological applications of advanced computing, high energy density science and mesoscale materials science. The four collaborations represent genuine engagement among faculty, laboratory scientists and students across all 10 campuses and Lawrence Livermore, Los Alamos and Lawrence Berkeley National Laboratories. In addition, four UC students were selected as the inaugural recipients of the In-Residence Graduate Fellowships.

The latest request for proposals (RFP) was released in March, 2017. Like last year, 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" for doctoral graduate students who have advanced to candidacy. The multi-campus collaborative (CRT) opportunity requires participation by a minimum of four campuses and either LANL or LLNL, and this year must focus on one of three targeted areas: climate science, cybersecurity, and national security through social sciences. Based on the letters of intent received by the June deadline, the program expects that 30 proposals will be submitted. After extensive review by multidisciplinary panels, 3-5 proposals will be funded. The graduate fellowship opportunity received 25 letters of intent, of which a possible four applicants will be funded.

3. *Additional updates and items from ORGS*

- *Collective Excellence:* UCORP provided feedback for a new document, "The Pursuit of Collective Excellence in Research at the University of California," that was written to raise awareness and recognize the many ways that excellence may be manifest in UC's research enterprise. The document is now finalized and posted on the ORGS website.

- *MRPI awards:* Multicampus Research Programs and Initiatives (MRPI) funding supports innovative multicampus research collaborations with two-year planning/pilot awards and up to four years of funding for new or established innovative research collaborations. The 2017 competition awarded 15 proposals, totaling more than $17 million over four years. UCORP was impressed with the professionalism and thoroughness of the award process and praised the UCRI staff for their work on the proposal review process.

- *Research policies:* UCORP heard updates from ORGS consultants about state and federal legislation, a new export control policy intended to demonstrate UC's compliance with the law, and proposed policies on research data management and openness in research. Despite much preliminary discussion, neither the openness in research policy nor the data management policy materialized. UCORP also learned about changes to indirect cost recovery rates for State grants, which are increasing from 25% to 40% over the next five years. Faculty are concerned that the higher rates will drive away State agencies that currently provide grants, but UCORP's consultants noted that UC is providing waivers on an individual basis, and campuses are working to streamline the waiver request process.

NATIONAL LABORATORIES

UC Vice President for the National Laboratories Kim Budil participated in a UCORP meeting in the fall to provide updates on the National Labs and the status of the Los Alamos contract bidding process, which is scheduled to begin in fall, 2017. Based on input from the Academic Senate, VP Budil is considering a statewide tour of the campuses to inform the faculty about the labs and UC-lab collaborations. UCORP suggested that a background/informational document might be useful to help frame the relationship between UC and the national laboratories, and in March, 2017, the committee sent VP Budil a proposal for a white paper. Budil responded quickly with a draft white paper in May, and UCORP was able to discuss it at its last meeting in June. The committee was impressed by the fast turnaround time and offered suggestions for including more of the content requested in the proposal, as well as information about the bidding process for the LANL contract.

RESEARCH INNOVATION & ENTREPRENEURSHIP

In October, UCORP met with Paul Corson, Chief of Staff to the new Senior Vice President for Research Innovation and Entrepreneurship. The newly-formed office at UCOP, led by Christine Gulbranson, is working on UC-wide efforts in support of technology development and commercialization. Corson reported that the office is

currently focusing on a branding effort, communication, establishing partnerships, and looking at ways to update licensing technology. UCORP will continue to pursue a relationship with SVP Gulbranson and invite updates from her office.

AGRICULTURE AND NATURAL RESOURCES (ANR)

In May, ANR Vice President Glenda Humiston reported to UCORP on the Department of Agriculture and Natural Resources' strategic planning process. President Napolitano requested that ANR review and streamline administrative services, increase efficiencies, finalize MOUs with campuses regarding CE specialists, and increase the diversity of the workforce. As part of that review, ANR is examining salary equity, staff training and development, volunteer management solutions, and strategies for financial stability. UCORP will continue to foster the consultative relationship with ANR on topics such as program priorities, grant decisions, and academic issues.

ADDITIONAL BUSINESS

Endowed Chairs: UCORP learned from UCOP's Institutional Advancement directors about potential procedures for establishing and reviewing endowed chairs, including the Presidential Matching Chair program and endowed chairs for Division of Agriculture and Natural Resources (ANR) and the Lawrence Berkeley Lab. Campuses have established processes for endowed chairs that include academic senates, but the proposed new Presidential chairs for ANR and Berkeley Lab are outside the control of an individual campus and there are no current processes for involving the systemwide Senate.

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:
- Draft Policy on International Activities (Oct. 31, 2016)
- Proposed Revised Policy on Professional Degree Supplemental Tuition (Dec. 9, 2016)
- Proposed revisions to Senate Bylaw 182, revising the bylaws of the University Committee on International Education (Dec. 9, 2016)
- Sustainable Building Operations section of the Sustainable Practices Policy [Response to inquiry] (February 23, 2017)
- Proposed Changes to the Lecturer with Security of Employment (LSOE) Series (APM-285, 210-3, 133 and 740) (May 17, 2017)
- Proposed Presidential Policy on Export Controls (May 17, 2017)
- Proposed Revised Presidential Policy on Electronic Information Security (IS-3) (June 29, 2017)

UCORP REPRESENTATION

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

ACKNOWLEDGEMENTS

Respectfully submitted, UCORP 2016-17:

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