

UNIVERSITY COMMITTEE ON RESEARCH POLICY
Minutes of Meeting
November 9, 2015

I. Announcements and Agenda Review

Chair Habicht Mauche

UCORP members should hold January 11, 9:00-12:00 for a conference call to discuss the UC Mexus Review.

Chair Habicht Mauche asked for an additional representative from UCORP to participate in call on Nov. 19 at 11:00 to coordinate with the other Academic Committees that are participating in the UC Mexus Review. No one volunteered.

Suggestions to facilitate information sharing & efficiency within the committee:

- Materials shared in UCORP meetings may be shared with divisional committees and campus groups unless otherwise indicated.
- A SharePoint site will be set up to facilitate document sharing.
- Action items decided during the meeting will be distributed the next day, along with the responsible party.
- Chair Habicht Mauche will start indicating “FYI” or “Action Item” as well as “UCORP” in the subject line of UCORP listserv email.
- No responses to requests for feedback assumes agreement with message.
- Committee analyst and chair will ask consultants to send background materials in advance, and to clarify expectations from UCORP.

October 28 Academic Council meeting:

- Revised Proposed Policy on Sexual Violence and Sexual Harassment discussion. President Napolitano is setting up a Joint Task force to review current campus policies for best practices and how they address faculty. Suggestions included clarifying how the policy relates to the privilege and tenure tools available to Vice Chancellors, such as investigations and sanctions. The Academic Assembly provided extensive comments on revised policy, including concern about faculty as mandatory reporters.
- UC Health governance re-organization. Changes to Regents’ bylaw would change how UC Health is governed. Will be a topic at the November Regents’ meeting. The Senate will nominate a representative with clinical experience.
- Common course IDs (C-ID) presentation. The IDs are used in community colleges and CSUs. UC is considering adopting as part of agreement with Governor. A common system could assist with standardizing transfer. Adoption of the IDs would be faculty-driven. Probably not any specific research implications.
- Pres. Napolitano will present her enrollment plan for 2016-17 at the November Regents’ meeting.

- Retirement Task Force work is ongoing. UCORP will have chance to comment in February.

Academic Planning Council

- Plan for an international activities policy. Interest in such a policy comes from concern about campuses making independent agreements with international entities. Policy would establish who can make agreements and with whom. It is a Risk Management issue. UCORP may be interested in implications for researchers and student researchers doing international work.

ACSCANR (Academic Council Special Committee on Agriculture and Natural Resources)

- Senate leadership and UCPB had questions about ANR budget, integration between Natural Reserves and ANR.
- There may be some question about whether this committee is the best way to serve the senate around these issues.

Vice chair Nagarajan reported that the issue of research and teaching space came up at the Academic Senate retreat in September. UCORP may want to take it up with other Senate Committees such as Planning & Budget and Faculty Welfare.

II. Consent Calendar

- DRAFT Minutes of Meeting, October 12, 2015
Accepted as written.

Campus updates

- UCSB: Openness in Research. Strong interest and is considered highly relevant to campus. Principles that were discussed in October are good, but individual cases need to be decided at the campus level.
- UCLA: Sexual harassment policy discussion. Want to make sure it's extended to say that it pertains to UC faculty even when not physically on a campus or university property. Also talking about data management policies and concern that responsibility falls to the researcher, but there are no funds allocated and few university resources. Interest in the University developing a system that faculty can use. The UCLA VCR is stepping down.
- Graduate student representative (Bio-engineering, Merced): Students are talking about data sharing and are collaborating with colleagues at other universities.
- UCSC: Short discussion about openness and data. VCR putting up seed funding for research. The campus is undertaking a systematic inventory of shared resources and equipment, including equipment maintained by faculty.
- Riverside: COR at Riverside has a narrow scope that focuses on allocation of funds for research, but it is looking at expanding.
- Merced: Interested in expanding funding and resources as the campus grows. Several ORUs will be reviewed.
- UCD: Talking about animal research and hiring a new administrator to be in charge of the business aspects.

III. Update on Search – VP, ORGS

Provost Aimée Dorr

Two positions being created: A Vice President for ORGS and a new Senior Vice President for Research Innovation & Entrepreneurship. A search firm has been hired to recruit the SVP, and the search is underway. The Chair of the search committee is Rich Lyons, Dean of the Haas School of Business at UC Berkeley. The targeted hire date is March 2016, and the selection will go to the Regents for approval.

The SVP will report directly to the president. It is an “outward facing,” position focused on innovation and entrepreneurship. The 28-person staff of Innovation Alliance Services (IAS) – currently a part of ORGS – will move to this unit. All others will stay with ORGS. Research policy will stay within ORGS.

In response to concern about the needs of VCRs, Dorr noted that the convener of the VCRs said that both positions were relevant, and both needed to be involved with VCRs.

The Vice President for ORGS will still have responsibility for advocating for campus research and showing value. An early draft of the job description for the ORGS VP was distributed. Suggestions for changes included strengthening the research emphasis, including something about campus and shared facilities, and a statement about interacting with people and entities outside the university. The position is geared toward a researcher, a faculty member, someone with a sophisticated understanding of research and scholarship.

Action: Feedback, including suggestions for faculty to serve on the search committee, should be sent to the provost by Monday, November 16.

IV. Consultation with Academic Senate Leadership

Dan Hare, Academic Council Chair

Jim Chalfant, Academic Council Vice Chair

The Retirement Task Force is now meeting weekly and financial details are being modeled. The group will have a report to the President by mid-December. Review will take place Jan. 15-Feb. 15, to be finalized by March 10 for the March Regents meeting. The Governor and State Assembly requested that UC undertake a revision to its retirement program since the cap is higher than any other state workers. The proposed plan will most likely include a defined contribution plan. The report will be on UCORP’s February agenda.

Academic Council issued a statement in early September about the projected addition of 5,000 more in-state students. The topic will be taken up at the next Regents meeting.

The ANR Special Committee is discussing how to be more effective. The relationship with campuses is being examined more closely after funding streams change. Four campuses have an ANR presence. Academic Council Chair Dan Hare is also chair of ACSCANR and will keep UCORP apprised of discussions.

V. Consultation with the Office of the President – Office of Research and Graduate Studies (ORGS)

Jeff Hall, Director – Research Policy Development, ORGS

Kathleen Erwin, Director – UC Research Initiatives
Chris Spitzer, Coordinator – UC Research Initiatives

Chair Habicht Mauche asked if the ORGS consultants could work together to streamline their presentations and informational materials to UCORP. The consultants will clarify in advance whether a response is being requested, and if so will provide the timeline. As much as possible, consultants will submit background documents ahead of time.

For this meeting, all information is “FYI” – no action requested.

- The data access and management policy draft will be coming to the December UCORP meeting. It was discussed with last year’s committee. The policy is intended to provide guidance on what to do with specimens and data when a researcher leaves the university. UCLA and San Diego have already issued their own policies. UCLA’s has generated significant feedback from researchers, which is being used to inform the systemwide policy. UCORP members suggested a preface or annotations to explain the scope and intentions of the policy.
- A draft of the “Openness in Research Policy” will be sent to UCORP in advance of the December meeting. Again, committee members suggested that it would be helpful to have a preamble to better understand what’s trying to be accomplished by the policy. The policy concerns classified research on campuses, and has been requested by the VCRs; the Senate Committee on Academic Freedom also has an interest. The idea is to release the draft and find out if it might have widespread support.
- Good news re: AP20 agreement, a combination contracting agreement to start Jan. 21st 2016. There will be joint trainings with Cal State system as well as online resources for contracting folks.
- The Human Research Subjects common rule undergoing review with new requirements for collaborative, multisite studies. A Notice of Proposed Rulemaking (NPRM) was published in the Federal Register on September 8, 2015. New consent rules for bio-specimens may make research more difficult. On the bright side, there is a new HHS web tool for investigators to self-assess certain exempt studies. UC is working with organizations (AAU, APLU) on their responses, along with other universities.
- UC Mexus:
UCORP provides consultation on [Multicampus Research Programs and Initiatives](#) (MRPI) grants and the MRU review process. The ultimate grant approval comes from the Vice Provost for Research. UC’s Multicampus Research Units (MRUs) are generally a collaboration of 3-4 campuses. They are reviewed every five years, with a sunset review at 15 years. In certain cases, the MRPI review stands in for the MRU review. This year, the **UC Mexus** program, headquartered at Riverside, is up for review. UCORP is the primary reviewer, with input provided by CCPB and CCGA.

Last year, a template was developed for the review. Now there is a multi-page document that includes background information, feedback, and letters of reference from those who

work with UC Mexus. There will also be independent references from content experts. The complete packet will be provided at the December meeting, with continuation of the review process in January. The UC Mexus Director will come to UCOP in February and will speak to committees (possibly several at a time). The intention is to finish the review by May. Kathleen Erwin is available for consultation during the process. [Timeline distributed.]

- Lab Fee Research Program, which gets funding from DOE for Los Alamos and Livermore labs, is considering restructuring its RFP process to target issues of interest to the labs (as identified by labs). ACSCOLI will be consulted. The call for proposals will go out in January 2016. The funding is about \$14 million, and the average size of the grant is \$1 million over three years.
- The President's Research Catalyst Award program received 187 proposals and evaluated 29. Paul Gray chaired committee. Outcomes for the \$7million awards will be announced in December.

VI. Executive Session

Discussion about the Portfolio Review Group Report.

Action: If members have additional comments, they should send them Chair Habicht Mauche, who will then summarize and send to Bill Tucker.

VII. Updates from the Office of the National Laboratories

Kimberly Budil, Vice President for Laboratory Management

Budil was invited to talk to UCORP about collaborative research, research value, a LANL progress report, and national lab contracts and renewal.

For the labs, the relationship with UC is very important, and there are advantages to the relationship for campuses as well. The fees collected by UC, which generally amount to \$14 million, are invested in the UC Laboratory Fees Research Program to fund research activities that foster collaborations between the labs and UC campuses. At the Lawrence Berkeley Lab, there are joint faculty appointments, combined research groups, hiring and retention benefits, and sustainment of research activities. Los Alamos works closely with UCSD's College of Engineering, and Lawrence Livermore has strong ties with Davis and Berkeley.

The contracts for the Los Alamos and Livermore labs will come up for review in 2017 and 2018, and UC and DOE have begun talking about potential terms of a contract.

Budil distributed a white paper, "Building Strategic Engagements between UC National Laboratories and UC Campuses" with a proposal for enhancing the visibility and research impact of the national lab relationships. The paper also includes four research proposals that the national labs are pursuing: High Energy Density Science; California Climate Observatory; Mesoscale Materials Science to connect processing, properties and performance; and Biological

Applications of Advanced Strategic Computing (BAASiC). These areas have clear paths forward to engage UC researchers in what will be large government investments.

The Office of the National Laboratories is strategizing ways to bring the national lab opportunities to the attention of the campuses and welcomes suggestions, including collaboration ideas. Suggestions from UCORP members included on-campus colloquia, presentations, hands-on instruction in how to participate in science with the national labs, and how to prepare a proposal for the program.

Meeting Actions:

1. Chair Habicht Mauche will summarize PRG comments and send to Bill Tucker.
2. Feedback on the Vice President for ORGS, including suggestions for faculty members to serve on the search committee, should be sent to the provost by Monday, November 16.
3. Meeting minute drafts will be sent out a week after the meeting (as possible).

Upcoming topics:

- The data access and management policy draft
- “Openness in Research Policy” draft
- Future potential agenda items: 1) How should entrepreneurship be evaluated within academic personnel process?; 2) Research space issues on campuses—are there common issues/problems that should be addressed systemwide?.

Minutes prepared by: Joanne Miller

Approved by committee: 12/14/15