

UNIVERSITY COMMITTEE ON RESEARCH POLICY

**Minutes of Meeting
February 9, 2015****I. Announcements**

Liane Brouillette, Chair

Update: Chair Brouillette reported to the committee from the Academic Council meeting of January 28:

- Alternative health care delivery methods and cost models for the medical centers are being explored. The Senate is closely monitoring developments.
- Retiree health premiums for 2015 went up significantly, primarily due to high pharmaceutical costs.
- Governor Brown appointed Gareth Elliott to the final vacancy on the Board of Regents. Mr. Elliott was formerly on the governor's staff. The number of Regents who are or were politicians that now attend the Regents meetings has altered the dynamics of the Board.
- Regent Kiefer is pushing to define clearly the meaning of a UC degree.
- The Committee of Two met for the first time January 27; each principal has five staff in attendance. The Senate will be involved when Senate issues are discussed.
- The governor's January budget revision makes a 4% increase contingent upon not raising tuition and on capping non-resident enrollment at current levels. The admissions calendar and the budget calendars do not align, however, so negotiations in this area are difficult.
- A security breach at Los Alamos lab means there are no funds for the UC Lab Fee Program this year.
- The UC Path start date has been delayed again; a new date is still to be determined.
- The University is opposing the proposed Senate Constitutional Amendment 1 which would strip UC of its constitutional autonomy.
- Fifteen Community Colleges are piloting Bachelor's degrees in fields that are non-duplicative with UC and CSU.

II. Consent Calendar**1. DRAFT Minutes of December 8, 2014**

Action: The minutes were approved as amended.

III. Campus Updates, ORU Review Procedures

Berkeley: ORUs: ORU reviews are resuming this year. Three have been selected. COR is represented on each panel. Annual reports are all submitted to COR. Review-generated recommendations will go the VCR. Specific criteria are still being refined.

COR: COR is helping to monitor the impacts of campus shared services.

Davis: ORUs: Published guidelines will be forwarded. The VCR convenes the reviews, and COR is asked to opine on the findings, but not to participate in the review.

COR: 1) A local survey on administrative burdens is being developed. 2) COR received a 30% increase in faculty grant funds. How best to balance support for STEM and HABSS fields is being discussed. 3) Graduate student support funds distribution practices are being reassessed.

Irvine: ORUs: The VCR convenes reviews, and COR opines on the findings. The level of scrutiny and the goals of the reviews need critical evaluation. The role and funding of centers on campus is also implicated in this discussion.

COR: No update.

Los Angeles: (absent)

Merced: ORUs: Review processes are still being developed. The UCSD materials are serving as a model.

COR: 1) COR has requested additional funds for faculty grants. 2) A library committee is trying to launch.

Riverside: ORUs: The VCR conducts the reviews. COR is not involved.

COR: No update.

San Diego: ORUs: New ORUs have three years to become self-supporting; they are then reviewed every five years. The five year reviews have standard processes and guidelines for directors. COR sends a discussant.

COR: No update.

San Francisco: ORUs: ORU reviews on campus are just starting; the first steps are to determine which should go first and what level of scrutiny is required given different funding sources.

COR: 1) A new medical record system is being implemented. 2) A new hospital facility is opening at Mission Bay. 3) A new tax on gifts is being implemented to help plug deficits. The tax will increase from 4 to 10% upon gift arrival, and each spend will be taxed at a higher, but still to be determined, rate.

Santa Barbara: ORUs: Review processes are similar to other campuses. Five year reviews are resuming, with two a year expected.

COR: Commercialization is receiving much attention on campus. Students are being offered basic MBA skills to help them negotiate the market. Incubator space near campus is being secured. The business plan competition is being supplemented by a start-up contest. UCOP could help by improving its accounting practices and developing draft contracts, FAQs, and glossaries. Access to resources from other campuses would also be helpful.

Santa Cruz: ORUs: Review guidelines are published online, but communications need improved.

COR: Faculty research grant applications are being evaluated.

IV. Consultation with Senate Leadership

Mary Gilly, Academic Council Chair

Dan Hare, Academic Council Vice Chair

Update: Chair Gilly updated the committee on several items of interest:

- The Lab Fee Research Program has been canceled this year due to a security breach fine at Los Alamos National Lab. The Regents graduate student fellowship program has also

been delayed. ACSCOLI will meet next Thursday to discuss plans to maintain healthy research ties with the national labs.

- The Provost is working on the job description for the next research vice president. Feedback from the graduate deans and VCRs has been solicited. UCORP may send additional ideas.
- The Innovation Council met last Friday, and each of the working groups reported on their work to date. The qualitative and quantitative metrics for success still need significant refinement. Similarly, the communications surrounding the project need careful crafting to reflect that commercialization is only one small part of research. A common vocabulary across campuses is desired to facilitate the sharing of best practices. The emerging verbiage on rewards and recognition is troubling from a Senate perspective as it might overemphasize commercialization. Focus groups involved business partners and faculty innovators.

Discussion: Some on the committee wondered if the Council and its working groups might be suffering from group think.

- Systemwide Senate Associate Director Todd Giedt is moving to UCSF to become their divisional Senate executive director.
- Governor Brown appointed Gareth Elliott to the Board of Regents. Some have raised concerns about the last-minute nature of the Governor's recent appointments.
- The increased presence of sitting and ex-politicians at Regents meeting has changed the discussion dynamic considerably.
- The Committee of Two has held its first meeting. Many areas of Senate authority are expected to be discussed, and the Senate has indicated its willingness to engage in the process. The governor's new lead aid for higher education will tour the campuses.
- Information regarding budget advocacy has been sent through local channels. The goal is to provide information to the faculty from sources other than newspapers.

Discussion: Members asked how the Governor viewed UC, and Chair Gilly indicated that throughput seems to be his primary concern at this point. Research might be viewed as a luxury, so explaining the relationship between undergraduate education and research will be one point of emphasis.

- The "meaning of a UC degree" will be discussed at the March Regents meeting at Regent Kiefer's request.
- The salaries of newly hired UCOP vice presidents received scrutiny at the January Regents meeting, but were approved nonetheless. The Governor has suggested including state government counterparts in salary market analyses.
- How to tie coaches' salaries to student athlete academic performance was tabled; the proposal was thought not to go far enough.
- Campuses should each now have sexual assault advocacy offices. Faculty training was to have been combined with the state-mandated sexual harassment prevention training, but federal guidelines require more frequent training.
- The community college BA pilot program raises questions about upper division general education requirements and access.

- Transfer discussions have focused on guarantees and required courses. Campus capacity is soon to be implicated as well.
- No hearings have been scheduled on proposed Senate Constitutional Amendment 1. UC's office of state governmental relations is closely monitoring the issue.

V. Consultation with Office of Research and Graduate Studies

Bill Tucker, Interim Vice President

1. University-Industry Relations Guidelines

Note: Item discussed electronically.

2. Portfolio Review Group Next Steps

Dotti Miller, Deputy to the Vice President

Issue: The PRG issued several recommendations, and Deputy Miller presents an overview of their current implementation status:

- MRPI support has not been restored, but it did receive a one-time augmentation to help bridge cycles. There are now 2 and 4 year funding cycles.
- Targeted research grants have been subsumed by the President's Catalyst Grants.
- The lab fee research program is protected internally, but not externally. Future projects will emphasize strategic efforts.
- Funding for the Cal ISIs has been maintained. Engagement and growth plans are still under development.
- UCO and Keck are undergoing an internal review, so these recommendations have been tabled.
- The Natural Reserve System's funding has been held steady pending development of a new strategic plan. It is the program's 50th anniversary this year.
- The President's Mexico Initiative is overlapping with UC Mexxus. An internal review will emphasize impact reporting.
- The Research Opportunity Fund will be re-categorized and its future discussed with the VCRs.
- The California HIV/AIDS Research Program funding was thought to be fungible, but it is not.
- The Proof of Concept fund was not renewed; local options exist.
- A plan for systemwide collaboration and access to the San Diego Supercomputer is being developed.
- A systemwide engagement plan for the Institute for Transportation Studies is being developed. ITS is seeking additional CalTrans funding, too.
- The Pacific Earthquake Engineering Research is continuing as recommended.
- The Tobacco Related Disease Research Program has protected funding.
- The California Breast Cancer Research Program has protected funding.
- The Cancer Research Coordinating Committee performs only a management role; its function will be rolled up into ORGS.
- The Institute for Labor and Employment now has a state line-item.

- Other program actions are pending state or other external actors.

3. President's Initiatives and Research

Dotti Miller, Deputy to the Vice President

Issue: The president's new initiatives have several research intersections. A round-table was convened in January to discuss the research undertaken and envisioned. Participants were keen to develop information sharing practices. The Mexico Initiative leaders have created a research project database as a clearinghouse for researchers and interested parties to use to find one another. Other projects are also working to map the current landscape.

Discussion: Members asked how the work undertaken was to be advertised and shared with the public. Posting reports online is passive; an active dissemination strategy is needed for all research projects. Deputy Miller indicated that a multi-pronged strategy is being developed that will incorporate corporate partners and national media groups. Chair Brouillette noted that junior and senior high schools should be targeted, not just funders.

4. MRPI Update

Kathleen Erwin, Director, UC Research Initiatives

Issue: Director Erwin reminded members of the declining funding for MRPIs over time, and noted the new direction of the program, which is to fund more awards at a lower rate. Catalyst Awards are the new name of the President's Challenge Grants. Some MRPIs were "bumped" up to Catalyst Awards this year, since Catalyst Awards did not have a separate RFP. Five were selected, and they will receive a total of \$3.1M for the life of their grants. 186 MRPI applications were submitted, and 23 were funded (including the 5 Catalyst Award winners, though those are separate funds). One Catalyst Award went to the Natural Reserves for a joint climate measuring project – the first research project that will involve each of the reserves.

Discussion: Members asked if it was hard to sort the 186 applications into discrete topic areas. Director Erwin noted that the RFP asked applicants to indicate their two preferred categories. About 5 MRPI projects received renewal funding. The low success rate is a concern for many, but more money does not seem a likely outcome despite clear demand. One alternative may be to develop stricter eligibility criteria to lower the number of applications. ORGS will continue to push for greater funding for the program.

5. Lab Fee Research Program Update

Kathleen Erwin, Director, UC Research Initiatives

Issue: Due to the fine associated with a security breach, there are no funds for the program this year. Restoration may be possible next year.

6. Innovation Council and UC Ventures

Michele Cucullu, Director, Private Equity, Office of the Chief Investment Officer

Issue: The Innovation Council met last Friday, and a business model should emerge in the next few weeks. Drafters are being mindful of conflict of interest and conflict of commitment, among other concerns. The \$250M for UC Ventures will come from the 1.2B venture funds already managed by OCIO. Early plans envision three tiers: local funds for visibility and direct outreach; matching funds from external investors or other partners of high caliber; and beyond UC Ventures to a full co-investor.

Discussion: Members asked where local funds would be found, and Director Cucullu indicated that each of the 10 campuses currently has venture funds, but they are not all at the same level of maturity. The emerging business plan could borrow criteria and material from other UC efforts- incubator and accelerator metrics, or technology transfer templates, for example. Members asked if profits from the effort would be used for research purposes, and VP Tucker indicated that patent revenues, when they are realized, might be used as a model for distribution.

Members agreed that the academic perspective needs a louder voice in the Innovation Council's deliberations and discussions.

VI. Consultation with Division of Agriculture and Natural Resources

Jan Corlett, Chief of Staff to ANR VP

Issue: Chief Corlett provided an overview of the Division and its history. Today, ANR maintains a presence in every county in California, has space on three campuses, and manages a budget similar to that of the Merced campus. ANR has 1400 FTE, including 600+ researchers, 200 cooperative extension advisors, and about 100 specialists. ANR activities focus on the public. Statewide programs include 4H and the Master Gardener program. New programs include Master Food Preservers and Master Naturalists. The ANR physical plant is available to all members of the California public.

Discussion: Members asked what some typical ANR projects included. Chief Corlett noted that ANR faculty only conduct campus-based research if they have a split appointment. Many ANR researchers work personally with county-based advisors to collect and disseminate information directly to farmers. Workshops are frequently conducted, and affinity groups meet and compare experiences. Specialists have similar personnel reviews to general campus faculty – research, service, and teaching must all be demonstrated. Beyond agriculture, the Division has been active in facilitating drought maps, analyzing satellite imagery, and working on water conservation and runoff projects. Members asked if the boots-on-the-ground is the best business model. Chief Corlett indicated that some increased electronic reference materials might be helpful, but personal contact is still the best mode available for most ANR business. Nonetheless, ANR must keep pace technologically. Members asked how ANR funding looked going forward. Chief Corlett noted that ANR is also subject to state budget vagaries. Some commodities boards have begun directly funding research to make up for cuts in the state budget. Members asked if ANR was also under pressure to increase commercialization. Director Corlett noted that many agriculture patents have proven lucrative for the University, but patent income and recovered indirect costs are retained by the campuses and not shared with ANR.

VII. New Business

1. San Diego has a new accelerator for undergraduates called “The Basement.” It has space for 20-30 teams and will provide networking opportunities. This is similar to the CITRIS accelerator at Berkeley.
2. Berkeley will share its year 1 report on the new faculty research grant program.

Meeting adjourned at 4:05 p.m.

Minutes drafted by Kenneth Feer, Principal Analyst
Attest: Liane Brouillette, UCORP Chair