

UNIVERSITY COMMITTEE ON RESEARCH POLICY

Monday, March 14, 2016

10 a.m. – 4:00 p.m.

Members Attending: Judith Habicht Mauche (Chair), Srikantan Nagarajan (Vice Chair), Ramona Naddaff (Berkeley), Raju Metharate (Irvine alternate), Mark Cohen (UCLA), Ajay Gopinathan (Merced, via phone), Richard Arnott (Riverside), Isaac Martin (San Diego), Dieter Gruenert (UCSF), Jeffrey Richman (Santa Barbara), Steve Whittaker (Santa Cruz), Rachel Hatano (Graduate Student Representative, UC Merced)

Consultants and Guests: Dan Hare (Academic Senate Chair), Jim Chalfant (Academic Senate Vice Chair), Kimberly Budil (VP, Office of National Labs), Bill Tucker (Interim VP, Research and Graduate Studies), Kathleen Erwin (Director, UC Research Initiatives), Chris Spitzer (Coordinator, UC Research Initiatives), Glenda Humiston (Vice President, UC Agriculture and Natural Resources), Joanne Miller (Committee Analyst)

MEETING MINUTES**I. Announcements, Agenda Review, and Approval of Meeting Minutes**

Judith Habicht Mauche, UCORP Chair

- President Napolitano has announced her proposal for changes to the UC retirement plan to start July 1, 2016. The proposal will be brought to the Regents in March. The new plan offers varying options for faculty and staff, and there is an option for defined-contribution only plan.

Committee members expressed concern about the impact of the new retirement tier on retention of quality faculty. Because the new retirement plan is for new hires only, the impact of the change to won't be known for some years. Members wondered whether there could be a quantitative figure that could show the impact of the change; UC could initiate a long-term study of employee/faculty retention.

The perception among faculty is that because UC competes on a national basis for high-quality faculty, it is not in the same category as other state institutions that fall under the PEPR Cap.

- Vice President for the National Laboratories Kimberly Budil will be invited to the April or May meeting to talk about Los Alamos National Laboratory and the contract with the lab. UCORP can then have further discussion among Senate faculty about structure, analysis, and consultation going forward.
- The search for a new Vice President for Research and Graduate Studies is underway. A search firm has been hired and the job description is now posted in various venues. If committee members have anyone to suggest they should send a message to Chair Habicht Mauche, who is on the search committee. The expectation is that short list of candidates will be ready in April, interviews in May, and an appointment by July. A suggestion was made to send the job description to divisional Committees on Research.

DRAFT Meeting Minutes from January 11, 2016 (revised) were approved.

DRAFT Meeting Minutes from Meeting, Feb. 8, 2016 were approved.

II. UC MEXUS Report Draft

Overall, committee members felt that it was an excellent and well-written report that reflected the opinion of the committee. Some members gave editorial and formatting suggestions on the draft, including highlighting and clarifying the recommendations in the executive summary, briefly mentioning the process, and noting the cooperation from UC MEXUS staff and leadership.

Other suggestions included stronger wording regarding the committee's concern about the UC Mexico initiative and the potential hindrance to the work of UC MEXUS. The budget section will emphasize that this excellent program is under threat. More attention will be given to the imminent departure of the executive director, including urging ORGS to take a greater role in succession planning.

Next steps for UC MEXUS Report: CCGA and UCPB will have a chance to review the report and provide their comments. The final draft will be sent to the Academic Council for approval.

III. Consultation with UCOP – Office of Research and Graduate Studies

Bill Tucker, Interim VP, Research and Graduate Studies

Kathleen Erwin, Director – UC Research Initiatives

Chris Spitzer, Coordinator – UC Research Initiatives

Kimberly Budil, Vice President – Office of the National Laboratories

- MRPI/Catalyst RFP
- UC Laboratory Fees Research Program RFP

General ORGS Briefing

Vice President Bill Tucker told the committee that President Napolitano has made her choice for the new Senior Vice President of Innovation and Entrepreneurship. The selection will go to the Regents for approval in May. The salary for the SVP is commensurate with salary of the previous “advisor” position. On May 10, UC is planning an “Innovation day” in Sacramento in part to advocate for two draft bills that would provide funding for innovation on campuses (one from Assemblymember Jaqui Irwin and the other from State Senator Lois Wolk).

There are a couple of start-up companies that have UC affiliation that will accompany UC administrators in discussion with key people in Sacramento. The companies are also going to be featured at an upcoming trade show in Germany focusing on energy (carbon neutrality, etc.).

The campuses have identified entrepreneurial faculty members, some of whom recently participated in focus groups about impediments to innovation on campuses. UCORP asked to see a copy of the focus group report when it becomes available.

UC Laboratory Fees Research Program RFP

Briefing: The RFP is different from what has been offered in the past. A key motivation for these awards is to demonstrate the strategic relationship between UC and the national labs. There may be less money than in previous years, but the grants are targeted in a way that can make a difference. Two grant opportunities are being offered this year: “Targeted UC Multicampus-National Lab Collaborative Research and Training Awards” and “In-Residence UC-National Lab Graduate Fellowships.”

Targeted grant proposals must focus on collaborative research and training activities in one of three key areas identified for high-impact research: 1.) biological applications of advanced computing; 2.) high energy density science; or 3.) mesoscale materials science.

Proposals must include a minimum of four campuses and either LLNL or LANL. Other requirements are detailed in the RFP. The award offers a maximum of \$5 million over 3 years.

Discussion: Committee members questioned the four-campus minimum requirement, concerned that it puts undue burden on applicants and gives an advantage to larger, established projects. Director Erwin pointed out that part of UCOP's role is to provide opportunities for campuses to work together. Because the grants are multi-disciplinary, they offer opportunity around the system. The idea is that campuses can be more efficient and productive by working together. The multi-campus requirement is seen as an opportunity to bring new researchers into the grants, including those who wouldn't have the resources to do it on their own. In addition, as

an outcome of this type of collaboration, federal funding opportunities may become available. The national lab can be used to facilitate connections.

The workshops hosted by the Office of National Labs on the targeted topics attracted new people with smaller projects as well as researchers who previously had no relationship with the national labs. Previous competition cycles that have required multi-campus collaboration have shown that it is not a barrier.

A suggestion was made for a mechanism to help researchers find each other, such as a website for abstracts or descriptions of work.

In-residence fellowship grants will be awarded to graduate students who have advanced to candidacy who will be on-site at either LLNL or LANL doing their own dissertation research at 80% time, with a minimum of nine months per year at the lab. The grants are for two years, with a possible third year extension option, and while not tied to any particular subject area, each proposal needs to have identified a scientist at the lab to serve as mentor and supervisor. The proposal also needs to be approved by the student's UC faculty advisory. The goal of these grants is to provide experience, training, and mentoring. They will probably attract students whose faculty advisor already has connection to lab. Grants will be awarded to a maximum of four students, two at each lab.

\$8.5 million of the \$13.5 million award funds is new money from this year's laboratory fee program. The goal is for all fee money to go to the university.

MRPI/Catalyst RFP

UCORP members received a draft RFP in their agenda packets. They are also available online at: <http://ucop.edu/research-initiatives/programs/mrpi/>. The Multicampus Research Program Initiative (MRPI) competitive grant funding comes from campus assessment. The *planning/pilot awards* provide up to two years of funding, while the *program awards* provide up to four years of funding to support new or established research collaborations. The pilot awards are intended to stimulate new collaborations without competing with established ones. The President's Research Catalyst award was first offered two years ago with funding from the President's Endowment Fund. This year, the Catalyst Award is being incorporated into the MRPI award process. Highly regarded proposals that are submitted to the MRPI will be considered for recognition as recipients of the President's Research Catalyst Award.

The difference in this RFP from previous years:

- Increased emphasis in public engagement (for the four year awards); engaging public in meaningful way.
- If a proposal was previously funded, applicants must address why prior funding wasn't sufficient to launch to self-sufficiency or funding from outside OP.
- No concurrent funding.
- Key personnel can only be part of one application.

Applications will be assessed by a programmatic review, not just for eligibility. A letter of intent is not sufficient; applicants need to answer questions and be specific.

IV. Consultation with Academic Senate Leadership

Dan Hare, Academic Council Chair

Jim Chalfant, Academic Council Vice Chair

Senate Chair Dan Hare and Vice Chair Jim Chalfant updated the committee on the following issues:

- **Joint committee on faculty discipline.** The Report is out for [systemwide review](#). The Joint Committee found that while the systemwide and campus policies are reasonable, clear, and generally consistent, there is a lack of understanding and knowledge of the policies. The Report recommends some minor policy changes and broad education and outreach on campuses of the existing policies. The hope is that campus administration will know and understand the disciplinary options available for each situation. Graduate

students, in particular, may not have information on who/where/what to report. The Report includes a recommendation for better integration of Title IX process with the promotion and tenure disciplinary process.

Committee members asked whether there are remedies for situations where departments would rather cover up and do damage control instead of address the situation. Could there be sanctions for that type of response, or non-response?

- **Retirement recommendations.** President Napolitano's [2016 retirement proposal](#) incorporated changes from the Senate's review and recommendation to look at alternatives. The new "Option A" is not a bad deal for starting faculty earning the median income. For the proposed defined contribution plan, UC pays 8%, which is below what some employers contribute. The flexible window for full DC plan folks to switch to DB is also an improvement.

The proposal differentiates faculty from staff and "other academic employees." UCORP members suggest an exit survey for departing faculty, and information from those who don't take UC's offers. The Academic Personnel office is doing some work in this area.

- **Cybersecurity.** For those faculty interested in the cybersecurity measures that are being put in place, it's best to get involved at the campus level, as each campus will work out their own procedures and policies. There is a "cybersecurity executive" (CRE) on each campus. The CREs will work out local implementation. See: <http://security.ucop.edu> for more information, including a FAQ.

Action Item: UCORP will invite Tom Andriola, Chief Information Officer, to its April or May meeting to discuss how new cybersecurity measures, especially the deployment of software on individual devices, such as personal computers, tablets and phones, may impact faculty research and research collaborations nationally and internationally.

V. Consultation with UCOP – Agriculture and Natural Resources (ANR)

Glenda Humiston, Vice President - UC Agriculture and Natural Resources

Presentation: Vice President of Agriculture and Natural Resources (ANR) Glenda Humiston gave an overview of the work of ANR along with a slide presentation.

Discussion: The primary online communications vehicle for ANR is the UC Food Observer, which is part of the UC Global Food Initiative and includes an active Twitter feed. ANR recently hired a new communications person to focus on new collaborations and positive media attention.

UCORP members noted that ANR seems like an ideal way to connect with state legislature, since it does so much for the public service mission of the university.

VP Humiston briefly described the involvement of UC students in ANR activities, which occurs at field stations and county offices. Although direct student involvement is not a large part of ANR, faculty who are aware of the programs do send students to ANR locations for field work. ANR also provides grants, primarily at the three campuses where it has a presence (Berkeley, Davis, and Riverside). Humiston said that Berkeley was the first land grant university, with Davis functioning as the University Farm and Riverside home to the Citrus Experiment Station.

Committee members asked about ANR governance and oversight. The ANR Vice President reports directly to President Napolitano and has two associate vice presidents that report to her. ANR administration also includes deans from Berkeley, Davis, and Riverside. A Program Council advises on allocation of resources, including

hiring decisions and other matters. ANR has approximately 1,400 positions within UC, and includes titles such as Cooperative Extension Specialist and Cooperative Extension Advisor; those on campuses often have split titles. The division has its own Academic Assembly and a Staff Assembly.

ANR's budget comes partly from UC campus assessments, partly from federal grants, endowments, and other sources. A budget task force has recently made some recommendations for changes to ANR's funding model, including changes to the process for indirect cost recovery and sharing of patent royalties.

Looking ahead, VP Humiston would like to get UCORP's input on issues as they come up, such as open positions, program priorities, and technologies to facilitate research and learning. In 2011, the Academic Senate established the Academic Council Special Committee on Agriculture & Natural Resources ([ACSCANR](#)) "consult with ANR leadership on a regular basis, to review the mission and strategic objectives of the Division, and to consider issues related to the Division's budget, its academic and capital planning, and the intersection of its academic and outreach missions."

A potential future topic to ask about is the relationship of ANR with UC's Natural Reserve System (NRS).

VI. Systemwide Senate Review of Guidelines

- *Guiding Principles: Search Waivers for Academic Appointees at the University of California*

UCORP members agreed that the guiding principles document looks fine and the committee will not submit comments.

VII. Campus Reports

Riverside: In order to find economies of scale in attempting to add 300 new faculty members in the next three years, Riverside is using a "cluster hire" process for 80% of its new hires. Therefore, the "targets of excellence" (mentioned in the Search Waiver Guiding Principles document) are becoming key. Riverside's Committee on Research was asked to write letter addressing issues in cluster hires, such as space and staff needs. Staff positions have been cut to such an extent that it is affecting the functioning of the departments

UC Merced is doing cluster hires for 75% of its new hires for the next 6 years, as that campus adds hundreds of new faculty members.

UCSF: A new committee on space was formed. UCSF employs indirect cost recovery mechanisms for space usage. The committee will look at whether the cost is commensurate with space occupied.

VIII. Executive Session

Topics for the **April** meeting include: UC MEXUS next steps, cybersecurity update with Tom Andriola, UC Labs briefing with Kim Budil, and Openness in Research policy (if ready).

Meeting adjourned: 3:45pm

Meeting minutes prepared by: Joanne Miller

Attest: Judith Habicht Mauche