

**UNIVERSITY COMMITTEE ON RESEARCH POLICY**  
**Monday, June 11, 2018**

**Meeting Minutes****I. Announcements, overview of agenda, approval of minutes, internal business**

*Jeff Richman, UCORP Chair*

*Andrew Baird, UCORP Vice Chair*

**1. Agenda Review and Approval of Minutes:** 5/14/18 UCORP Meeting Minutes were approved.

**2. Cesium Irradiator Replacement Program**

The Cesium Irradiator initiative was brought up by Vice President Art Ellis at the last meeting. UC San Diego UCORP member Brian Eliceiri uses cesium irradiators and has been involved in conversations on his campus. The systemwide project lead for the initiative, Carolyn McKenzie of UC Berkeley, visited UCSD last week for discussions. A letter sent from President Napolitano to the Chancellors in February described the national context and asked the Chancellors to coordinate with their Vice Chancellors for Research. A survey was sent to Vice Chancellors of Research to be distributed to cesium users on the campuses.

The federal program provides partial reimbursement for the cost of removing and replacing the irradiators. UCORP members were unsure if VC-Rs had already made campus-wide decisions. Members wanted to better understand the national security threat, whether other research institutions were doing the same, and if it would be necessary to replace all sources. Some felt that getting rid of the irradiators would be a self-inflicted reduction in competitiveness.

This discussion continued later in the meeting with VP Ellis.

**3. Systemwide Review Item: [Financial Interest and Conflict of Interest Disclosure](#) (PDF)**  
(Comments due June 20, 2018)

The new policy under review pertains to the Form 700-U, the “Statement of Economic Interests for Principal Investigators,” that is required by the California Fair Political Practices Commission (FPPC). Reportable events are recorded on form 700-U, and a review of these forms is done at the local level. UC has some flexibility in how the substantive review of the forms is conducted, and the policy describes the requirements for substantive review.

The policy states that each UC Location is responsible for local implementation and for developing procedures for conducting independent substantive reviews consistent with the policy. UCORP members felt that there should be consistency across campuses and that campuses should report results and data on the policy to the systemwide Office of Research and Graduate Studies, which would maintain records. In addition, members thought there should be an appeal or arbitration process for researchers who felt they were unfairly treated during a review, and that UC should suggest to the FPPC that the level of gift reporting be raised above \$50.

**Action:** UCORP Vice Chair Andrew Baird will revise the draft letter from the committee that was sent to UCORP members last week.

#### **4. UC Unmanned Aircraft Systems (Drone) Policy: Follow-up**

UCORP Chair Jeff Richman was provided with an extensive chart that showed responses to all comments received during the systemwide review of the UAS (Drone) Policy in April, 2017. Although the responses were not shared with the Academic Senate, the chart was provided to the UC Policy Advisory Committee during the policy review process.

The committee discussed how to respond to the concerns of UC Irvine Professor Burke, and whether or not the concerns of the Academic Senate were sufficiently addressed before the policy was issued in February, 2018.

The UAS policy establishes a UAS Advisory Board to provide oversight and to develop and implement policies and guidance for the use of UAS. The Advisory Board is currently being formed and will have three faculty member representatives. UCORP could suggest that the Advisory Board evaluate the strengths and weaknesses of the policy over a period of time.

According to the Policy Guidance Document that accompanies the policy, the UAS Advisory Board is responsible for:

- Reviewing exceptions from the Policy
- Assisting in the development of systemwide UAS policies
- Reviewing and commenting on proposed policies and long-term goals
- Evaluating the effectiveness of systemwide UAS policies and safety metrics
- Ensuring that systemwide UAS policies remain consistent with applicable privacy best practices

**Action:** The expectation is the Chair Jeff Richman will write a letter to the conveners of the UAS Advisory Board to convey a request from UCORP for a formal one-year policy review." Richman will also respond to Professor Burke to let him know that UCORP is aware of his concerns and has requested a review of the policy at the one-year mark.

## **II. UC and Climate Change**

*Daniel Kammen, Professor, UC Berkeley*

UC Berkeley Professor Daniel Kammen joined the meeting at UCORP's invitation to present an overview of climate change issues. Professor Kammen played a major role in preparing the 2015 UC report "Bending the Curve," which describes approaches that can potentially reduce the projected global temperature increase. Kammen said that traditional interventions in carbon neutrality and climate stability have focused on energy and agricultural innovation and research, but more recently the work on climate change is happening in a wider variety of disciplines, including law, policy, big data, machine learning, and others. Natural gas production helped with short term goals, other innovations are needed for a long-term strategy.

Energy conservation in California has largely been the cumulative result of the industrial, commercial, and residential sectors working together, along with the work of organizations such as the PUC, Energy Commission, and Energy Resources Board, although that's not the full story. Professor Kammen emphasized the need regional cooperation and focus on longer term goals. Much of the progress in decreasing global warming depends on what other countries do. In California, the demand for power for electric vehicles will outpace the demand for power for homes. The state is investing in fuel cell efficiencies, and aims to have 50% clean energy by 2030 and 100% 2045.

Kammen mentioned a few specific projects and initiatives, including:

- The “SWITCH Model” that his lab is working on, to expand energy storage capacity. This idea started in California with solar and wind energy and is being expanded worldwide. Energy storage is a major concern.
- The BECCS technology for carbon capture, which pulls carbon out of the air
- The “Under2” MOU coalition, an agreement signed by state and regional governments, including California. Governor Jerry Brown is hosting a major Global Climate Action Summit in September.
- Cap-and-trade regulation, which has been in place in California for three years and has been useful for fundraising, although is expected to have great impact in the future.
- Development of the “smart grid” to manage energy use, and policies for energy efficiency in new residential construction.

In addition to California, other leaders in combatting climate change include Germany, Denmark, Portugal, Bangladesh, Mexico, and the northeastern US.

When asked about what the UC system can do, Kammen suggested that UC should use its strengths and emphasize research and technology innovation. The University of California system has a goal to be carbon neutral by 2025. Options for could include extending the MOP (mortgage origination program) as a mechanism to incentivize the use of electronic vehicles or solar power.

Vice President for Agriculture and Natural Resources Glenda Humiston added that ANR was also contributing UC’s efforts to help combat climate change, and handed out fliers on the UC California Naturalist Program.

*Additional reading:*

- Bending the Curve Report - Executive Summary (attached) and Full Report are available from [UC’s Carbon Neutrality website](#)
- The [UC Global Climate Leadership Council](#), of which Dan Kammen is a member, is currently in its 4<sup>th</sup> year and has to date awarded, through competitive grant processes, three rounds of seed funding for research projects related to carbon neutrality.
- Under President Napolitano’s leadership the UC system is part of a coalition of 13 North American research universities, the [University Climate Change Coalition \(UC3\)](#), which have formed to help local communities address climate change.
- UCOP has been approached by the Governor’s office to form the [US-China Climate Change Institute](#), initially formed between Tsinghua University and the University of California, to connect government leaders, researchers, scientists, technical experts and students in the U.S. and China to drive climate solutions and action, particularly at the subnational level.

### **III. UC Davis as an “Academic Harbor” for Students from Puerto Rico**

*Samuel L. Díaz-Muñoz, Professor, UC Davis*

*Rosemary Martin-Ocampo, Chief Administrative Officer, Graduate Studies, UC Davis*

UC Davis Professor Samuel L. Díaz-Muñoz joined the meeting at UCORP’s invitation to discuss the efforts made at UC Davis to help students in Puerto Rico after last year’s hurricane. Díaz Muñoz was joined by Rosemary Martin-Ocampo, UC Davis Chief Administrative Officer for Graduate Studies.

Professor Díaz-Muñoz was able to get direct and immediate information about the impact of the hurricanes that hit Puerto Rico in the early fall of 2017. Nine faculty members and two staff members at UC Davis had ties to Puerto Rico and united together with campus leadership to issue a call for support and resources. There were many offers of help, including free meals from housing and dining services. In the end, three graduate student scholars ended up coming to UC Davis to take advantage of the help provided.

The effort was seen as successful due to many factors, including the ability to align research interests, contacts on the ground in Puerto Rico, and a single point-of-contact within the administration. Professor Díaz-Muñoz sees the effort as a template that can be used in future situations. He proposes “UCwepa: World Emergency Plan for Action,” a step-by-step guide for universities to help communities after disasters.

Professor Díaz-Muñoz mentioned the work of the CienciaPR (Ciencia Puerto Rico) organization for its help in collaboration, and the dissemination and exchange of scientific opportunities between people from different academic backgrounds and geographic locations.

Although there are organizations that are experienced in disaster recovery their goals tend to be more immediately on providing food and shelter or rescuing those in dire need, and not on more long-range needs like scientific or academic research.

Professor Díaz-Muñoz is now thinking about long term opportunities for investments in Puerto Rico in the areas of renewable energy, sustainable agriculture, and waste management.

The presentations by Professor Kammen and Professor Díaz-Muñoz will help to inform UCORP activities in the next year.

#### **IV. Consultation with the Office of the President – Office of Research and Graduate Studies (ORGS)**

*Arthur Ellis, Vice President for Research and Graduate Studies*

*Kathleen Erwin, Director, UC Research Initiatives*

*Emily Rader, Portfolio Manager, ORGS*

*Wendy Streitz, Executive Director, Research Policy Analysis & Coordination*

VP Art Ellis noted that UCORP might be interested in a recently released report from the National Academies of Sciences, Engineering, and Medicine on “**Graduate STEM Education for the 21<sup>st</sup> Century**,” available at: <https://doi.org/10.17226/25038>

##### **1. Cesium Irradiator Replacement Program**

VP Ellis described the Cesium Irradiator Replacement Program. It is an opportunity currently offered by the federal government that will provide some reimbursement for ending the use of cesium irradiators. The decision about whether and how to participate will be made on each campus. There is no mandate from UCOP, but UCOP wanted to make sure that Chancellors and Vice Chancellors for Research were aware of the issues and various considerations on their own campuses.

There are 80+ sites around the country that are involved; most are still collecting information. About half of the cesium irradiators in California are at UC. VP Ellis said that researchers may be able to find funding for side-by-side comparisons of alternate technologies via a “matchmaker” mechanism that connects researchers.

The Vice Chancellors for Research are still discussing the program and campus responses.

## **2. Guiding principles/value proposition for joint appointments between UC's campuses and affiliated national labs**

VP Ellis is considering creating an institutional-level agreement for joint appointments that could be customized on a campus or individual basis. There are currently a range of joint appointments, ranging from "courtesy" to 50/50. The document shared with UCORP was drafted as a starting point to facilitate conversations.

UC's management contract for Los Alamos National Lab does not necessarily have bearing on joint appointments with Los Alamos and Livermore National Labs. Even if the management relationship changes, joint appointments are possible. In fact, some UC researchers have joint appointments with PNNL. Templates for joint appointments would be maintained by the Office of Academic Personnel and Programs (Vice Provost Susan Carlson).

## **3. Competitive Research Funding Opportunities: Letters of Intent submitted for LFRP In-Residence Graduate Fellowships and MRPI**

Director Kathleen Erwin reported that a large number of LOIs were submitted for this year's Laboratory Fees Research Program (LFRP) In-Residence Graduate Fellowship.

The Multicampus Research Programs and Initiatives (MRPI) had a slight reduction in funding, but still received more than 200 responses to the RFP that was released in April. The total to be awarded is \$157 million. There is clearly a lot of interest, and the program will try to find more funding in the future.

## **4. MRU Reviews for next year (INPAC and UCHRI)**

MRU directors have received reminders and information about next year's reviews. Paperwork is due in September, and UCORP will begin its review process in October. The committee briefly discussed whether MRU reports should be posted publicly on the web. As of now, the reports are posted as attachments to the Academic Council Chair's cover letter transmittal of the UCORP report. As a parallel example, campuses don't necessarily publicly post ORU reviews.

## **5. Early thoughts on research funding from the cannabis industry**

Research Policy Executive Director Wendy Streitz asked for UCORP's opinion on receiving funding for cannabis and industrial hemp research. Companies and non-profits want to give money to researchers, but some may be engaged in activities that are illegal under federal law. UC can draw the line against funding from entities engaged in illegal activities, but then it comes down to degrees of separation. Some tobacco money (from the state) is funding cannabis research. The amount of money is not huge, but it could provide funding for important research into medical efficacy, side effects, public health issues, and environmental/agricultural issues.

## **6. Update on AB 2836, State bill on Native American remains and other items**

Executive Director Streitz provided a brief update on the proposed legislation that she described at the last UCORP meeting that makes specific demands of UC regarding its collections of Native American remains and other items. The bill stems from prior bad interactions between the tribes and UC, but campuses have overhauled their methods since then, and on the whole relations have been positive. UC will work with legislative staff to change some parts of the bill.

## **V. Senate Leadership Update**

*Shane White, Academic Council Chair*

Academic Council Chair White reported on the awarding of the Los Alamos National Laboratory management and operations contract to the UC-led team. The announcement was made on Friday. Chair White also updated the committee on other ongoing issues, including:

- The budget news from the Governor and legislature.
- Faculty salary increases and a commitment from the administration to address the gap between UC faculty salaries and those of faculty at peer institutions over the next three years. Chair White noted the importance of a unified voice from the Senate that focuses on closing the gap.
- The Retiree health Task Force that is looking at sustainability will continue its work.
- There may be changes to policies and bylaws covering sexual violence/sexual harassment (SVSH) after an Office of Civil Rights resolution with UC Berkeley around SVSH practices. One concern is the time allowed to reach resolution.
- The Huron Report on UCOP has led to an evaluation of reorganization in some areas of the Office of the President. Task forces are being charged to examine potential changes to the governance of ANR and UC Health. There will be Senate representation on both groups.
- Faculty diversity continues to be a primary concern of both the legislature and the Board of Regents.

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**Meeting participants:**

*UCORP Members:* Jeffrey Richman (Chair, UCSB) Andrew Baird (Vice Chair, UCSD), Irina Conboy (UCB), Dietmar Kuelz (UCD), Nasrin Rahimieh (UCI), Leif Havton (UCLA), David Noelle (UCM), K.K. Ramakrishnan (UCR, via video), Brian Eliceiri (UCSD), Farid Chehab (UCSF alternate, via video),

Guests and Consultants: Kim Budil (UCOP), Samuel L. Díaz Muñoz (UC Davis), Arthur Ellis (UCOP), Kathleen Erwin (UCOP), Glenda Humiston (UCOP), Daniel Kammen (UC Berkeley), Rosemary Martin-Ocampo (UC Davis), Emily Rader (UCOP), Wendy Streitz (UCOP),

Staff: Joanne Miller (Committee Analyst)

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*Meeting adjourned: 4:00pm*

*Meeting minutes drafted by: Joanne Miller, Committee Analyst*

*Attest: Jeffrey Richman, UCORP Chair*