

UNIVERSITY COMMITTEE ON RESEARCH POLICY

<https://senate.universityofcalifornia.edu/committees/ucorp/>

Monday, October 10, 2022

Meeting Minutes

I. Welcome and Introductions*Cynthia Schumann, UCORP Chair**Susanne Nicholas, UCORP Vice Chair*

- ***Introductions and anticipated topics for 2022-23***

The meeting began with member introductions and an overview of anticipated topics for UCORP in the coming year. Among other duties, UCORP will be reviewing policies related to research, including a revised UC Patent Policy, will hear from UCOP on recent climate research funding from the state, and will have opportunities to provide input on UC-wide issues such as the impact of graduate student unionization and new financial accounting systems that are impacting UC's research enterprise.

- ***MRU Reviews***

UCORP will review two multicampus research units (MRUs) this year: the UC Institute of Transportation Studies and UC MEXUS. UCORP will be joined by liaisons from two other Academic Senate Committees, CCGA (the Coordinating Committee on Graduate Affairs) and UCPB (the Universitywide Committee on Planning and Budget). UCORP and the liaisons will divide into two "review groups" that will review the Five-Year self-reports (available in the UCORP Box folder), interview the MRU directors, and draft reports in adherence with the procedures outlined in the "[Compendium](#)" (the Universitywide Review Processes for Academic Programs, Academic Units, & Research Units). The reports should be finished in April or May and will be sent to the Academic Council for final approval before being forwarded to the Vice President for Research and Innovation.

- ***ACSCOLI Representative***

UCORP is represented on the Academic Council Special Committee on Laboratory Issues (overseeing UC's relationship with the three UC-managed national labs). If a UCORP member is interested in serving on ACSCOLI this year, they should let Chair Schumann know. [UCSD representative Gert Cauwenberghs subsequently offered to serve as UCORP's liaison.]

- ***Research Data Backup Steering Committee***

Chair Schumann is serving on a short-term "Research Data Backup Plan" Steering Committee that was convened this fall by VP Theresa Maldonado and CIO Van Williams. Two other Academic Senate committee chairs are serving on the steering committee, along with campus administrators.

- ***In-Person Meetings in 2022-23***

UCORP will determine whether to hold an in-person meeting on April 10, 2023

II. Consultation with the Office of the President – Office of Research and Innovation*Theresa Maldonado, Vice President for Research and Innovation**Kathleen Erwin, Director, UC Research Initiatives**Deborah Motton Executive Director, Research Policy Analysis and Coordination**Felice Lu, Research Policy Manager, Research Policy Analysis and Coordination*

- *Vice President for Research & Innovation*

- Climate funding

Vice President for Research & Innovation Theresa Maldonado told UCORP about the \$185 million from the state that UC recently received for climate research.¹ A webinar with additional information is scheduled for October 17th, and it will be recorded and available with a FAQ. The funds need to be encumbered by June 2024. UC administrators from all locations are working together to determine how to optimize the funding, including Agriculture and Natural Resources (ANR), the national labs, UC Health, and Academic Affairs. The Board of Regents will be provided with updates every two weeks. \$85 million of the climate funding was pre-allocated to UC Riverside (\$46m), UC Santa Cruz (\$20m), and UC Merced (\$18m). Those campuses have responsibility for how the funds are spent.² The remaining \$100 million will be used for “peer reviewed” research that will have a measurable impact on climate resilience in California. \$15 million will be distributed equally (\$1m each) to each campus VC-R, the two UC-managed national labs, ANR, UC Natural Reserve System, and UC Health for “innovation and entrepreneurship.” The remainder will be awarded as seed awards or matching grants.

- Hydrogen Hubs

UC is also coordinating a statewide Hydrogen Hub project funded by \$1.25 billion from the Department of Energy. UC is setting up a nonprofit with partners to handle the administration and funding. Most projects will be demonstration scale.

- Innovation Transfer and Entrepreneurship

VP Maldonado is continuing to respond to the recommendations in the Regents’ report on Innovation Transfer and Entrepreneurship.³ In addition to the revised patent policy, UC is exploring options for replacing its current patent tracking system. VP Maldonado is still looking for input from faculty regarding tech transfer and what the big issues are. Data gathering will continue until August 2023.

- Council on Research - update

VP Maldonado is gathering input from participants on how to structure a “Council on Research” that is inclusive but can still meet the collective needs of the Vice Chancellors for Research.

- *Office of Research Policy Analysis and Coordination (RPAC)*

- Preliminary Draft Policy on Inventions, Patents, and Innovation Transfer

In accordance with Regents recommendations, UC is revising and streamlining its policies related to patents. UCORP is being provided with the opportunity to review an early draft of the revised Patent policy. The revision makes it more of general policy while removing superfluous language and focusing on legal and Regental responsibilities. Anything procedural will be documented elsewhere. The idea is to reduce the approval processes at UCOP and give more autonomy to the campuses for their own innovation programs. An advisory group composed of representatives from five campuses and the national labs is reviewing the policy, and the drafting team is still gathering input from internal and external stakeholders. The Regents will review the latest draft in late October. It is expected to be sent out for formal systemwide review in the winter.

UCORP members asked about situations where faculty sign agreements with the university or with third party industry partners on behalf of the university. The policy includes these instances. One of the biggest concerns of early reviewers seems to be granting the power of approvals (for exemptions) at campus level. Campus innovation staff feel that it will be more efficient. It turns out that **no** exemptions requests have been rejected at the systemwide level.

UCORP members also asked about commercialization and income disbursement, which is not part of the policy and occurs at the campus level. In some situations, faculty are experiencing frustration and feel that they

¹ More information at: <https://uckeepresearching.org/california-climate-action/>

² More information can be found in a [Regents item from September 20, 2022](#).

³ Report: <https://regents.universityofcalifornia.edu/regmeet/may21/g1attach.pdf>

are missing out on income. Responsive staff on the campus are needed to fill this critical information gap. UCOP also needs campus points of contact – traditionally a tech transfer officer – to help support research and take it to next level. Most campuses will have a licensing offer in a technology innovation office who is assigned to deal with all licensed intellectual property.

UCOP is still gathering information and comments about the policy draft. UCORP's comments are welcome as the draft is refined.

○ *UC Research Initiatives*

Executive Director Kathleen Erwin provided an overview of some of the current activities of the UC Research Initiatives unit of the Office of the President. The unit will be handling the climate funding competition with technology already in place from other award programs. Ongoing Research Initiative programs include the multicampus research programs and initiatives (MRPI), which distributes two- and four-year awards every other year, and the lab fees research program (LFRP), which disburses income from UC's management of the Los Alamos and Lawrence Livermore national labs. The LFRP multicampus collaborative awards are funded in alternate years (not this year) and an in-residence graduate fellowship competition held annually.⁴

The Research Initiatives unit at UCOP will assist UCORP in its review of two MRUs this year. Multicampus research units (MRUs) are parallel to campus ORUs. There are currently seven formally constituted MRUs in the UC system, although there are other multicampus entities that do not have the MRU designation and are not formally covered by UC policy or Senate oversight (for example, Cal-ISIs are not MRUs). Due to some changes in the funding and philosophy around MRUs in the early 2000s, there have been no new MRUs established in many years. VP Maldonado would like to review the MRU situation and try to think strategically about what would be best for UC and how to have the greatest research impact.

UCORP members asked about the functioning of MRUs and whether they receive funding. A couple receive direct funding from the state, others receive a small stipend from UCOP, and the rest receive no funding. The UC Institute of Transportation Studies receives \$6 million in direct state money (from transportation and gas taxes). The UC Observatories receives some funding, but has an expensive infrastructure and could use more. UCORP will learn more about Alianza MX and how it incorporates UC MEXUS during the review this year. The Senate's review focuses on the programmatic and research aspects of the unit. The Senate's report is sent at the end of the year to the Vice President for Research and Innovation, who either approves continuation of the unit, implements changes in the structure or functioning of the unit, or recommends disestablishment of the unit. The MRU directors receive the reports and are expected to take action on any recommendations and to report back in a subsequent annual report. UCORP can invite MRU directors back to a meeting for an update at any time.

VP Maldonado mentioned an issue that has come up, which is that there is no mechanism for systemwide fundraising. This impacts units like the UC Observatories, but also systemwide initiatives.

III. Academic Senate Leadership Update

Academic Senate Chair Susan Cochran and Vice Chair James Steintrager joined the meeting to discuss the current issues facing the Academic Senate.

● **UCOP**

UCOP will have two new administrators in important positions at the systemwide this year. Systemwide Associate Vice Provost for Academic Personnel and Programs Susan Carlson will be replaced by Douglas Haynes from UC Irvine. Haynes, a professor of History and of African American Studies, is currently the Vice Chancellor for Equity, Diversity and Inclusion and Chief Diversity Officer at UCI. Provost Michael Brown announced that he is stepping down, and a new Provost will be approved by the Board of Regents in October and will start in January. These are the two UCOP academic leaders that the Senate works with most closely

⁴ <https://www.ucop.edu/research-initiatives/programs/lab-fees/application-information.html>

and it will be important to have a good “onboarding” year and to make sure there is a common understanding of shared governance at UC.

- ***Board of Regents***

The Chair and Vice Chair of the Academic Senate serve as faculty advisors to the Board of Regents and attend most meetings, including the Regents’ Special Committee on Innovation Transfer & Entrepreneurship. The Special Committee is overseeing the implementation of recommendations from a May 2021 report regarding improvements to UC’s policies and procedures for fostering innovation. One recommendation was replacement of the patent tracking system. The idea is to have independent campus systems that will interface with UCOP. Information gathering and scoping work is being done at the campuses and at UCOP. The project planners are also thinking about metrics and tracking for innovation at UC.

It was reported at the financial and capital strategies committee that UCLA was going to buy Catholic school buildings in Palos Verdes and San Pedro. UCSD is also expanding, but on public transit line. It was unclear what the overall goals were for these satellite build-outs, but the state is mandating that UC increase capacity.

- ***Academic Council***

The September meeting of the Academic Council included a discussion of software procurement with Chief Operating Officer Rachael Nava, Chief Information Officer Van Williams, and Chief Procurement Officer Paul Williams. Council members expressed their frustration with the new financial systems deployed at UC Merced and UCSD. This month, IT directors from across the system will convene to discuss the Oracle software difficulties and talk about possible improvements. UCLA and UC Davis are both progressing with plans for rollout of a similar system.

Council discussed some of the results of a spring 2022 faculty survey about COVID impacts. The survey results will also be discussed with the President and Provost.

A memo about faculty salaries was sent to President Drake.

There are six systemwide reviews right now, covering general education transfer requirements, entry level writing requirement testing, the closure of a loophole regarding residency requirements, an abusive conduct policy, revisions to details of faculty conflict of commitment in the Academic Personnel Manual, and a vaccination program policy.

- ***Discussion – Oracle Financial Software***

UCORP members asked why campuses are making changes to their financial software and what faculty at campuses that are transitioning to the Oracle financial system can do to mitigate the harm. There is no imposed requirement to change or go with Oracle, but legacy systems are becoming outdated. Senior level administrators like the functionality of the new software. UCSD has a public dashboard that documents problems and responses. There are add-ins that can be adopted. Faculty should stay informed and ask for resources and tools upon implementation.

IV. Round Robin of Reports from the Campuses

Committee members discuss the issues facing their local Committee on Research and other research-related campus news.

Berkeley: The local committee has met once and the big issue across disciplines was faculty frustration with the research administration system. Anything beyond the basics – e.g., forming partnerships – is challenging. If there are better processes at other campuses, the Berkeley COR would be interested in learning and sharing best practices. A multi-campus group of faculty called the UC Community Engagement Network has been meeting to talk about a variety of topics including evaluation of research support.

Davis: The first meeting of the Executive Council and the local COR are this week. Both groups will talk about Oracle. UC Davis’ Sponsored Projects Office is functioning well, although a recent departure of some staff led to a slowdown in processing time. Last year UCD surpassed \$1 billion in extramural funding. A Vice

Provost for Research is focusing on large funding opportunities. Expanding and leveraging that work to all campuses could be advantageous.

Irvine: The COR will review 10-12 ORUs this year. The Oracle system didn't come up in the local committee, but other systems are negatively impacting faculty. Transitions away from locally built, customized systems to more corporate-focused systems are having negative consequences. The local Senate is trying to get more faculty involvement earlier in the process. There have been cuts to the grants that CORCL distributes, so the committee will discuss how to mitigate the impact of the reductions.

Merced: UC Merced will receive \$18m for climate research funding and is focused on setting up a process to manage the funds. There is an instrumentation call this year for \$150-300,000. The local committee is looking at research grants, and the Provost is adding on some COVID relief funds. Oracle issues continue, with an upcoming town hall hosted by the CFO to discuss. Many staff have left and new staff need time to learn an extremely complex coding system. The local COR wrote two memos last year about the problems. COR is also engaged with a campus safety committee.

UCLA: The first COR meeting was last week. It is focusing on interactions with Office of Contracts and Grants and trying to get a better understanding of grant administration, including tracking of funds and other entrenched issues. UCLA is facing issues around hiring and personnel.

Riverside: UC Riverside's COR has not met yet, and the faculty received little information about the recent state climate resilience funding. Like some of the other campuses, the UC Riverside Senate has also been trying to find ways to work around the state funds travel limitations.

San Diego: The local committee has not met yet. It will review policies and discuss ways of improving the research enterprise. The chief financial officer was invited last year to talk about the Oracle system and some of the measures that campus has taken to ease the burden. In some circumstances, faculty have been compensated for loss of grant funds. Other campuses' CFOs should reach out to UCSD's. The campus is trying to provide additional support for research that was adversely impacted by the pandemic. The local committee is discussing the ability of research scientists (who are not faculty) to lead large projects, and whether there could be a new category – e.g., “research faculty” – that would have similar resources as ladder-rank faculty.

San Francisco: Some of the local COR topics are carried over from last year. The IRB process is a strain on researcher time and funding. COR is determining categories for faculty research lectures (sponsored by COR) that represent a diversity of topic areas. The committee is talking about streamlining processes in the Office of Sponsored Research and about NIH diversity supplements that are rewarded in a way that violates the award. A bridge funding opportunity from the Chancellors' office needs broader dissemination. The COR is discussing whether a salary support for clinical faculty called “Z-payments” can be used to support nonclinical faculty.

Santa Barbara: The local Council on Research and Instructional Resources received reports from the VCR and new CIO and raised concerns about the transition to the Oracle financial system. The CIO will talk to the Research committee, which is a subgroup of CRIR at UCSB, at its upcoming meeting. There is interest in moving the Oracle implementation date back by a year, which will give time for faculty input. The local committee is also focusing on the pandemic's impact on faculty research and research grants. UCSB is looking for ways to use non-state funds for travel, since there are restrictions on using state funds to travel to 22 states.

Santa Cruz: The local COR met last week and outlined plans for the year. Last year the Senate completed a transition away from a faculty grant competition to an allowance system where faculty are entitled to receive \$2,000. If not everyone takes advantage of it, there may be leftover funding that can be used for larger awards. The local COR conducted a post-COVID survey on the impact of the pandemic on the research program and will be evaluating the results and using the information to support researchers. COR would like to work on developing a stronger relationship with the Office of Sponsored Projects. An interim VC-R is faculty-focused and interested in working with the Senate.

V. Systemwide Review Items

UCORP discussed items currently under review by the Academic Senate:

- *Second Systemwide Review of Presidential Policy on Abusive Conduct in the Workplace*
UCORP will not comment.
- *Second Systemwide Review: Draft Revised APM - 025 and APM - 671 (Conflict of Commitment and Outside Activities)*
UCORP members briefly discussed the revised policy sections, noting that federal funders have clamped down due to risk for “foreign influence” too. The revisions primarily expand the “Category 1” prior approval and reporting requirements to all outside professional activities.

The UC Riverside representative shared comments from that campus’ COR, which requested clarification about whether prior approval and reporting of outside activities classified as category 1 or 2 is needed for activities that are conducted by academic-year faculty during summer months (e.g., when not receiving university compensation).

- *Proposed Senate Regulation 479 (Cal-GETC)*
UCORP will not comment.
- *Entry Level Writing Requirement Task Force Report and Recommendations*
UCORP will not comment.
- *Proposed Amendment to Senate Regulation 630 - Clarifies the residency prerequisite for an undergraduate Bachelor’s degree*
UCORP supports the in-person course requirement and clarification regarding the residency prerequisite for an undergraduate Bachelor’s degree. The research mission at UC includes undergraduates and support for that is important. The ability to provide the undergraduate research experience is part of what sets UC apart from other universities.

UCORP will send brief comments conveying its support by the deadline.

- *Presidential Policy on Vaccination Programs* - Comments due December 7, 2022
Did not discuss – moved to next meeting agenda.

Meeting adjourned: 2:05pm
Meeting minutes drafted by: Joanne Miller, Committee Analyst
Attest: Cynthia Schumann, UCORP Chair