

UNIVERSITY COMMITTEE ON RESEARCH POLICY  
Monday, October 11, 2021

**Meeting Minutes**

**I. Welcome and Introductions**

*Karen Bales, UCORP Chair*

*Tannishtha Reya, UCORP Vice Chair*

UCORP Chair Karen Bales began the first meeting of the year by thanking members for their service and contribution to UC's shared governance. She described the committee's charge and recent past work.

UC Office of the President (UCOP) will be prepared to host in-person meetings beginning in January. UCORP will plan to hold one in-person per quarter, but will solicit input from committee members about preferences.

Last year, UCORP was focused on Covid-related issues including research ramp-up. Because there were no MRU reviews, the committee spent time looking into the bigger picture of multicampus research entities (MREs). Some multicampus research entities are official, designated "multicampus research units" (MRUs), which are covered by policy (the "Compendium") and reviewed by the Academic Senate. Other multicampus entities exist outside of the MRU framework, such as the, CalISIs. Some get financial support, some do not. Last year, the UCOP Office of Research and Innovation convened a short-term work group that included the UCORP Chair and Vice Chair. The group met in the spring and summer to examine the universe of MREs and discuss whether to reconvene the UC Council on Research which had become dormant. The work group recommended reconvening the Council on Research with a broad systemwide composition.

The UCORP Chair and Vice Chair were interested in seeing additional Senate input into **strategic planning** for UC research as well as into existing programs such as the MRPI (multicampus research programs and initiatives) and LFRP (Laboratory Fees Research Program).

**Animal research** has been another UCORP priority in the past year. The committee worked with the UC Committee on Academic Freedom (UCAF) on a letter that was sent to President Drake in April. UCOP currently convenes an animal research transparency workgroup, in which UCORP Chair Bales and undergraduate student rep Daniel Halpern-DeVries participate. The group is developing a white paper on animal research and coordinating with a larger group that is conducting surveys of animal researchers. The primary goal of these efforts is to support animal research and researchers in an environment in which many are feeling harassed.

UCORP member Michele Guindani reported that the **Research Information Management Systems (RIMS)** Workgroup has completed its work and will issue a final report. At the request of the Provost, the group looked into software applications that collect and store metadata on academic research activities and outputs. There had been concern among the faculty about the use – and potential misuse – of these systems. The Workgroup found that use of the systems was limited and not widespread. It also recommended the development of principles and strategies for use of the systems going forward.

**Climate crisis** has been a big topic for UCORP in the past few years, and the committee has invited UC experts to its meetings. Academic Council Chair Robert Horwitz and Vice Chair Susan Cochran are continuing to make the climate crisis a priority for the Academic Senate. There is currently an informal group of faculty members convened by Chair Horwitz, as well as several faculty representatives on the systemwide UC Global Climate Leadership Council.

UCORP has an ongoing consultative relationship with the **UC Division of Agriculture and Natural Resources**. ANR Vice President Glenda Humiston and her staff join UCORP meetings once or twice per year. UCORP has also participated in the UCPB ANR-Task Force, which has looked at budget and other issues.

UCORP's focus has been on strengthening the relationship between ANR and the greater UC research enterprise, as well as individual researchers.

UCORP has also provided input into changes to the grant distribution practices of the **Cancer Research Coordinating Committee (CRCC)**, a long-standing multicampus entity that was previously designated as an MRU. CCRC distributes endowment and tax-based funding in small amounts to individual researchers. It is a faculty group, but has no other systemwide oversight. UCORP proposed using some of the funding in a more strategic way that would also strengthen cross-campus collaboration.

## **II. Consultation with the Office of the President – Office of Research and Innovation**

*Theresa Maldonado, Vice President for Research and Innovation*

*Bart Aoki, Executive Director, Research Grants Programs Office*

*Agnes Balla, Research Policy Manager*

*Kathleen Erwin, Director, UC Research Initiatives*

*Bruce Hunter, Executive Director, Knowledge Transfer & Innovation Partnerships*

*Deborah Motton Executive Director, Research Policy Analysis and Coordination*

*Emily Rader, Research Portfolio Manager*

- *Vice President for Research & Innovation*

Vice President for Research & Innovation Theresa Maldonado described the UC Multicampus Research Entities (MRE) Ad-Hoc Working Group and the recommendations in the group's report. Last year's UCORP Chair, Richard Desjardins, and current Chair Karen Bales served on the Working Group, along with four Vice Chancellors for Research and staff from the Office of Research and Innovation. A key outcome was the recommendation to revive the "Council on Research," a group that existed in the past but had gone dormant. The proposed Council on Research would be composed of the systemwide Provost, Chief Financial Officer, VP for Research and Innovation, VC-Rs from all 10 campuses, Deputy Directors for Research at the national labs, Chair of the Academic Council, Chair of UCPB, Chair and Vice Chair of UCORP, and representatives from UC Health, ANR, and a "humanist at large."

The group also recommended more consistent oversight of multicampus research entities, and aligning the effort of the review with the size and complexity of the MRE, possibly by linking the review process to the amount of UC-based funding.

VP Maldonado mentioned that the extent of true systemwide cooperation may also be an issue for some MRUs. For example, when wildfires impacted the Lick Observatory, the cleanup and repair largely fell to UC Santa Cruz and UCOP.

VP Maldonado reported that, systemwide, there is a great deal of interest in collaborative work, especially around climate. The wildfire symposia held recently were extremely popular.

A new Executive Director for the UC Natural Reserve System will be announced soon. Finalists for the UC Observatories Executive Director position are being interviewed now. In the coming year, UC will find a new director for the UC Humanities Research Institute.

UCORP members asked about opportunities for new MRUs to establish themselves, and whether there were advantages in being an MRUs. MRUs may enable the leveraging of system-wide expertise to go for bigger grants, but committee members noted that indirect costs and space are an issue. There have been no new MRUs established in the past 30 years.

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

- Research Data Ownership policy

Research Policy Manager Agnes Balla joined the meeting to provide an update on the UC Research Data Ownership Policy, which was reviewed last year. The purpose of the policy is to define and clarify UC's ownership of research data created at the university. Comments from the review noted that the scope was too broad and implementation would be too costly. Commenters also pointed out the unintended impacts on core research facilities and on relationships with Native American tribes.

Based on the comments from the review, the definition for research data has been modified and “tangible research materials” has been removed from the policy. The procedures section has been revised and there are clear exceptions for situations such as sponsorships and research agreements. Individual situations will be many and varied, and there may be contractual or legal aspects that will need individual attention from a VCR or other administrator. UC’s default position upon entering into a sponsorship agreement is that the university owns the data and reporting, but provides the partner with usage rights. If a different agreement is negotiated, then there are levels of administrative approval.

The next step for the revised policy is an expedited systemwide review (30 days). UCORP is welcome to send comments prior to the review.

- Openness in Research Policy

The Openness in Research Policy, which concerns whether UC can accept research funding that has citizenship and/or publication restrictions, has been on and off the table for several years. Although UC has traditionally not accepted restrictions, the funding environment is changing and some member of the UC community would like UC to be able to accept funding with restrictions for certain types of research. Because there are strong opinions on both sides, and data would be useful in supporting one position or another, UCORP last year suggested the UCOP convene a workgroup of stakeholders to work on it. RPAC has not had the staff to do this, but may be able too soon.

- *Knowledge Transfer & Innovation Partnerships (new)*

The newly-formed UC Office of Knowledge Transfer & Innovation Partnerships is reviewing the recently released recommendations from the Regents’ Special Committee on Innovation Transfer and Entrepreneurship, including business processes and patent tracking. The recommendations also included changes that impact faculty more directly, such as changes to the APM to give more credit in personnel reviews for innovation.

- *UC Research Grants Program Office*

This year while undertaking the MRU reviews, UCORP members are asked to be mindful of the process and how well it is working. The MRU review template was meant to be assessed after five years, to ensure it meets the needs of the MRU and the reviewers. All MRUs use the same template.

Regarding the large, systemwide grant competitions, the Lab Fees Research Program (LFRP) is in the midst of its competition and the MRPI will be issuing new a RFP in winter.

### **III. Academic Senate Leadership Update**

*Robert Horwitz, Academic Council Chair*

*Susan Cochran, Academic Council Vice Chair*

The Academic Council Chair and Vice Chair joined the meeting to provide an overview of the current activities of the Senate.

- The Academic Council has sent to President Drake the recommendations of a faculty working group that examined whether to use California’s Smarter Balanced test for UC admissions. It is not recommended.
- A “mitigating Covid-19 impacts on faculty” working group co-chaired by Academic Council Chair Robert Horwitz and UC Davis Provost and EVC Mary Croughan will release its report soon. The group discussed issues of personnel, merit, and promotion in the face of Covid-19.
- The Covid-19 vaccination rate is very high throughout UC and is resulting in very low numbers of Covid-19 infections on campuses and no hospitalizations. There is no longer talk of closing campuses after Thanksgiving.

At the meeting of the Board of Regents last month, Chair Horwitz used his remarks to talk about strains on UC quality that include salary, academic integrity, and high student-faculty ratios. During concurrent meetings, the Regents’ committees discussed student basic needs, increasing funding for student mental health and a new report on student diversity. The Regents are very focused on transfer of students from community colleges to UC, and how that can be streamlined. The Board approved some large capital projects, including a UC Santa

Cruz long-range plan that adds greatly needed housing, and a UC Berkeley plan for building student housing on the People's Park site. Approximately 500 buildings systemwide need seismic work.

All UC campuses must keep their percentage of non-resident students to a maximum of 18%. Those with higher percentages – Berkeley, UCLA, and UCSD – will need to cut back. The loss in funding will be filled in by the State.

Negotiations between Unit 18 Lecturers and UC have stalled and there is a possibility of an labor action in the near future.

The Regents approved increasing enrollment capacity by 20,000 students by 2030, based on a “Growing back with Equity” report. Campuses will have different ways of accomplishing growth, using options such as expansion of summer sessions, satellite campuses, dual enrollment, and increase in online courses.

The Academic Council is looking into problems with financial accounting systems that is impacting researchers UCSD and Merced, primarily. UC Merced does not have the staffing necessary to effectively rollout, provide training, and support the software. It has been a burden to faculty over past nine months.

A proposal from the Provost to change the graduate program approval process so that it does not go through systemwide review has not been received well by CCGA, which is involved in these reviews and sees cross-campus oversight as necessary. The Provost's proposal leaves new program approvals to the individual campus.

The Academic Council has been in discussions with UC Legal about options for dealing with websites such as Chegg and Course Hero that infringe faculty intellectual property and impact academic integrity. The Council would like to see an institutional response.

The Academic Senate will respond to recommendations from the Regents' Special Committee on Innovation Transfer and Entrepreneurship that proposed changes to faculty personnel processes to give more credit to those engaged in patent development and successful start-up companies.

The Academic Council asked UCAF to look into the practice of departments posting political statements on their websites. The committee will likely offer guidelines for disclaimers .

In discussion it was proposed that UCORP partner with UCAP on a response to the Regents Report on Innovation Transfer and Entrepreneurship. UCORP members brought up the topic of administrative burden, which was a focus of UCORP and UCFW a couple of years ago. As staff support declines, researchers have to take more time to learn administrative software and the arcane processes for oversight approvals and vetting of new equipment, technology, and personnel. A one-page description of these problems that could be presented to upper administration would be helpful.

#### **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.*

**UC Berkeley:** In person classes started in August and Covid infection rates have been very low. Berkeley will remove the cap on in-person classes. The current cap is 200 and so large classes, even with over 1000 students will be allowed be in person in the spring. COR is discussing how to help younger faculty, as well as those faculty who are being impacted by “foreign influence” concerns.

**UC Davis:** The local COR has a good amount of returning members, which is good for continuity. Last year committee discussion were all about Covid. UC Davis managed to keep library services open. The VCR regularly attends COR meetings and solicits faculty advice. The committee has provided feedback on the Research Data Ownership policy and advocated for support for animal research. The COR awarded 140 small grants the reduction in travel grants enabled more small grants. 24 large grants (of \$25,000) out of 82 applicants were awarded. The COR is considering renaming travel grants to “registration or conference

attendance” grants. Campus parking is a big deal for students as well as faculty, and could impact collaborations if people cannot meet together.

**UC Irvine:** UCI’s CORCL – Council on Research, Computing and Libraries – has not met yet. Classes are back in person. On the COR agenda this year is “foreign influence” and the way that funds are distributed to schools and units that may leave out some creative options for the Senate.

**UCLA** (*sent in writing prior to the meeting*): Vice Chancellor for Research Roger Wakimoto joined the COR meeting and talked about low rates of Covid-19 infection and the impact on continued opening for research labs, consideration for placing the COVID Taskforce on hiatus, possible extramural “Teaching Relief program” support, and the creation of a Racial and Social Justice Seed grant. The COR discussed reinstating the Faculty Grants Program, particularly related to travel grants, and unanimously voted to reopen the travel grants program -- domestic and international – with further discussion needed regarding funding limit (\$1000 vs \$1500). The COR reviewed the DataX Strategy Task Force Draft Report and found it overall impactful. The DataX Initiative also has support from UCLA ECVP Emily Carter. Representatives from a workgroup on Envisioning Research in the Post-Pandemic University reported that findings showed that women, junior faculty and individuals from underrepresented groups were more highly impacted by the pandemic. In reviewing UCLA Policy 993, Responding to Allegations of Research Misconduct, there was discussion regarding the lack of centralized data management system to protect data generated by UCLA investigators, particularly supported by non-federal funds.

**UC Merced:** The campus has been severely impacted by problems with the new research administration and procurement system. Millions were spent to acquire the system, but there is no training or support for faculty and staff. The local COR has compiled 13 recommendations for the administration to address the issues. Other campuses that are considering the system should be warned. Last year the COR received an increase in funding allocation for faculty research grants, and it is now working on this year’s competitions. The committee is also working on a policy for the establishment of centers at UCM.

**UC San Diego:** The COR will meet next Monday and a major topic is the “Enterprise System Renewal,” which is the same financial accounting system that is causing problems at UC Merced. There have been unpopular changes to student housing at UC San Diego – including graduate housing; some are concerned that it will impact recruitment.

**UC San Francisco:** The COR will meet next week and a primary concern is increase in IT costs as IT security is increased. Indirect costs are an ongoing issue at UCSF. Faculty salaries have been frozen for two years and it impacting moral and retention. Many faculty at UCSF are on soft money, so the freezes have uneven impact.

**UC Santa Barbara:** UCSB has had similar issues as the rest of the campuses, including procurement and staffing shortages. Custodial service is only once per month in some buildings. In terms of research, last year was a mix of good and bad. Extramural funding hit a record high, including a bump from the CARES act. Younger faculty took the brunt of the research productivity hit during the pandemic, but there has been funding to make up for that, some from the Senate faculty research grants. Going forward, the campus will look at variations in impacts of the pandemic between fields/departments. UCSB is also looking at opportunities presented by the pandemic around space needs. Related to the work of UCORP, the COR is interested in following the progress of implementation of the NAGPRA policy.

**UC Santa Cruz:** UCSC’s COR also has similar to the rest of the campuses. Housing is a huge issue for UCSC, with limited supply in the area and home prices increasing dramatically in the recent past. Campus policing is also an issue that was exacerbated by an unusually strong police presence at a graduate student strike a few years ago. The Senate is talking about DEI statements in hiring of new faculty. In COR-related news, the EVC has agreed to increase research support for faculty in the form of an annual flat stipend with few restrictions. It can be used for computers, office supplies, conference registration, etc. Now the COR is tasked with figuring out how to implement the grants, including whether it can be accrued. Using a similar process to UC Davis and UC Merced, any Senate member who applies can receive \$2,000. UCSC’s Office of Sponsored Projects seems

to be struggling to keep up and the COR believes the staffing shortage is due in part to retention issues that include the cost of living.

## **V. Systemwide Review Items**

- [Senate Review of Ethnic Studies Proposal and Senate Regulation 478 Revisions](#) - Comments due November 15, 2021  
UCORP will not comment
- [Systemwide Review of Proposed Revisions to UC Presidential Policy on Sexual Violence and Sexual Harassment](#) - Comments due November 15, 2021  
UCORP will not comment.
- [Proposed Revisions to Presidential Policy on Sustainable Practices](#) - Comments due December 7, 2021  
This policy will be on November agenda. Members are asked to read it and come prepared with comments.
- [Proposed Presidential Policy on Integrated Pest Management](#) - Comments due December 7, 2021  
UCORP will not comment.

## **VI. Executive Session, New Business, Next Steps**

UCORP will be actively involved in any response to the Regents recommendations around Innovation & Entrepreneurship. Suggestions were to include faculty who have actually gone through the process of creating a successful start-up or who were thwarted.

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Meeting minutes drafted by Joanne Miller, UCORP Analyst  
Attest: Karen Bales, UCORP Chair

### **Meeting participants:**

*Committee Members:* Karen Bales (Chair), Tannishtha Reya (Vice Chair) Javad Lavaei (Berkeley), Cynthia Schumann (Davis), Michele Guindani (Irvine), Susanne Nicholas (Los Angeles), Jason Sexton (Merced), Susan Golden (San Diego alternate), Lea Grinberg (San Francisco), David Stuart (Santa Barbara), Jarmila Pittermann (Santa Cruz), Daniel Halpern-DeVries (Undergraduate Student, UC Santa Cruz), Robert Horwitz (Academic Council Chair), Susan Cochran (Academic Council Vice Chair)

*Consultants, Guests, and Staff:* Theresa Maldonado (Vice President for Research and Innovation), Bart Aoki (Executive Director, Research Grants Program Office), Kathleen Erwin (Director, UC Research Initiatives), Deborah Motton (Executive Director, Research Policy Analysis and Coordination), Janna Tom (Director, Research Policy Analysis and Coordination), Lourdes DeMattos (Associate Director, Policy Analysis and Coordination), Emily Rader (Research Portfolio Manager), Bruce Hunter (Executive Director, Knowledge Transfer & Innovation Partnerships), Agnes Balla, (Research Policy Manager), Joanne Miller (Committee Analyst)