UNIVERSITY COMMITTEE ON RESEARCH POLICY
Monday, October 14, 2019

Meeting Minutes

I. Welcome and Announcements
Andrew Baird, UCORP Chair
Richard Desjardins, UCORP Vice Chair

After introductions, committee Chair Andrew Baird provided an overview of the work of UCORP and its role in advising the university on matters related to research policy. UCORP regularly consults with personnel from the Office of the President, and may submit recommendations related to research policy to the President via the Academic Council.

UCORP's recent areas of interest have included research funding, MRU reviews, the politicization of research under the current federal administration, and FOIA issues – specifically around animal research. Some emerging issues that may be on the agenda for this year include research credibility, how to better communicate UC's research enterprise to the legislature, graduate student research support, and administrative and technical support for researchers.

II. Academic Senate Leadership Update
Kum-Kum Bhavnani, Academic Council Chair [via Zoom]
Mary Gauvain, Academic Council Vice Chair

Academic Council Chair Kum-Kum Bhavnani joined the meeting via video to provide an update on the many issues facing the university:

Pension contributions: At the behest of the Board of Regents, UCOP is modeling various scenarios for increasing employer and employee contribution to the pension program. UCFW's Task Force on Investment and Retirement will evaluate the proposals. The Regents will likely discuss pension contributions during their November meeting.

Presidential search: UC President Janet Napolitano announced last month that she would step down in June, and a search for a new UC President has begun. (See: https://regents.universityofcalifornia.edu/about/pres-search.html). As part of the Regents' process, faculty and other constituent groups are consulted on the criteria for the position. Chair Bhavnani will Chair the Academic Senate's advisory group.

Merced Chancellor search: UC Merced is in the process of a new Chancellor search.

Working Group on Comprehensive Access: After the internal and public debate about a proposed affiliation between UCSF and Dignity Health last year, President Napolitano convened a working group to make recommendations for how UC values should be upheld when its academic health systems enter into agreements with other health systems. The working group is chaired by UCI Chancellor Howard Gillman and includes three Academic Senate representatives. (More information: https://www.universityofcalifornia.edu/current-issues/working-group-comprehensive-access.) It was mentioned that one result of the UCSF/Dignity discussions has been that some campuses are now reluctant to work with any religiously-affiliated organizations.

Highlighting UC's research: The Academic Senate intends to work with UCOP on ways to better highlight and promote UC's research activities. In the past, there have been graduate research advocacy days in Sacramento.

Admissions audit: The California State Auditor's office has announced that it will conduct an audit of UC's admissions processes, starting with Berkeley, LA, and San Diego. The scope and more information can be found on the State Auditor's website (https://www.auditor.ca.gov/reports/scope/2019-113). Meanwhile,

UCOP's Office of Ethics Compliance and Audit Services is conducting an internal audit of UC admissions that focuses on "admission by exception" in advance of State's investigation.

Standardized testing: An Academic Senate task force on standardized testing is continuing its work from last year. The task force is reviewing the value of standardized tests for undergraduate admissions to UC.

Faculty discipline: A Task Force on Disciplinary Guidelines has been convened to look into how faculty discipline is meted out and whether there should be common practices and parity across campuses and across violations. The task force is co-chaired by Academic Council Chair Kum-Kum Bhavnani and UCLA Chancellor Gene Block.

Other brief mentions:

- The President's Postdoctoral Fellowship Program (https://ppfp.ucop.edu/info/) as a mechanism for faculty diversity.
- A statewide general obligation bond will be on the ballot in the upcoming election and will provide $2 billion for UC for capital projects.
- Cohort tuition is being explored by UC as an attempt to keep tuition stable.
- A systemwide policy on posthumous degrees will be sent to the Board of Regents.
- An Academic Council Task Force on Online Degrees
- A potential Faculty Diversity Task Force
- CCGA (the Academic Senate's Coordinating Council on Graduate Affairs) is looking at Self-Supporting Programs

III. Review of Last Year and Anticipated Topics and Work for This Year

- **TFANR** Rep/Liaison

TFANR Chair Eleanor Kaufman joined the meeting via videoconference to talk about the goal of the Task Force on Agriculture and Natural Resources, which is a subcommittee of the University Committee on Planning and Budget. The task force is charged to monitor the policies and strategic objectives for the UC Division of Agriculture and Natural Resources and to consider issues related to the ANR budget. The Task Force is broadening its membership this year to include more representatives from systemwide committees, including CCGA and UCEP, to encourage discussion of initiatives that might benefit graduate or undergraduate education. The Chair of UCORP is currently a member, and Kaufman said that an additional UCORP representative would be welcome. ANR has been the focus of scrutiny in the past because of its large UC funded Cooperative Extension budget that supports programs such as 4H and Master Gardeners. The Agricultural Experiment Station (AES) budget provides funding for faculty engaged in agricultural research at the three AES campuses, Berkeley, Davis, and Riverside. [More information on ANR, including its budget can be found in this Regents item from March, 2019.] UCORP's relationship with ANR in recent years has focused on finding ways for increased interactions between ANR and Senate faculty, especially on non-AES campuses. In the past few years, ANR leadership have participated in two or three UCORP meetings per year, generally to share information and try to find areas for opportunities.

Last year, a Presidential Advisory Committee was formed to assess the governance, funding, and reporting structures of ANR. One recommendation was that ANR develop a new Governing Council that includes Senate representation, and this Council with three Senate members has now convened twice. ANR also has a Program Council with no Senate members that meets monthly.

UCORP members wondered whether other sectors of UC could be analogous. Not all campuses have health science divisions, but faculty are doing health-related research on all campuses. Alternatively, the UC Humanities Research Institute, which UCORP reviewed as an MRU last year, could be used as a model for the distribution of funding systemwide.

Members discussed advocacy and engagement versus oversight, and how information from the new Governing Council is reported back to Academic Council.

It was agreed that Kaufman or others from the Task Force would join UCORP discussions with ANR, and that the Task Force will provide regular updates to UCORP on its work.

- **Climate Change**

In the past two years, UCORP has invited UC experts on climate change to talk with the committee about efforts around the university to combat climate change and its effects. Right now, while there is a university "Carbon Neutrality Initiative," there are so far no Academic Senate sponsored activities. UCORP, along with faculty at UC Merced, are working to bring more attention to climate change and encourage faculty colleagues to be more involved. Last year, the chair of the Academic Council asked for UCORP to summarize its findings and present them to council. UCORP Chair Andrew Baird circulated a draft letter to Academic Council last spring that proposed a resolution for additional support from faculty for climate change activities, coordination for activities in the form of a systemwide task force that would help ensure a multi-disciplinary approach, and the deployment of climate "champions." UCORP members are asked to comment on a revised letter that is being circulated that asks the academic council to accept three UCORP recommendations for engagement in climate change. UCORP members mentioned that it is an opportunity to lead by example by substituting videoconference meetings for in-person meetings when possible and having members look at how each division's COR could allocate resources to the area of climate change.

IV. Round Robin of Campus Committee Reports

UC Santa Cruz: The Santa Cruz committee would like to find out more about faculty research funding practices on the other campuses. campuses. While focusing on selection and distribution of faculty grants, the local COR has moved away from policy and larger issues.

UC Berkeley is also struggling with research grant funding, and the issue of grants to Emeriti faculty. There are also concerns about conflicts of interest within the committee.

UC San Diego: San Diego's local committee is interested in strengthening multicampus collaboration. For example, in the area of cancer research the perception is that UC loses out to east coast schools with more funding. The local committee is also concerned that ORUs have become too large and are not overseen properly by faculty.

UCLA: UCLA recently established a public impact research award as part of the campus'100 year anniversary. The committee is interested in equitable allocation of space on the campus, and will pursue an inventory of facilities. Members are concerned about independent review of research; a new scientific review committee was established a few years ago to deal with issues prior to IRB review.

UC Santa Barbara: UCSB's local committee is the Committee on Research and Instructional Resources (CRIR), not COR. It recently created subcommittee for Information Technology. The committee is concerned about the impact of changes to composite benefit rates for post-docs and the potential for abuse of Research Information Management Systems if used in promotion and advancement processes.

UC Irvine: UCI's local committee is the Council on Research, Computing and Libraries (CORCL). The combined structure means that many ex officio members join the committee for each meeting. The big issue is research funding. It was cut in 2008-09, but is finally being increased this year. A total of $3 million will be available to schools, which decide via a faculty committee how to distribute. Funds may be spent on travel, research grants, or technology. CORCL no longer reads and evaluates grants, but it votes on how much goes to each school. The committee is interested in issues around faculty analytics.

UC Riverside: UCR's COR has a small budget of $700K to be disbursed. It's main role is reviewing applications for research and travel grants. All applicants get feedback, even if they receive a low score.

UC Davis: The UC Davis COR administers the faculty grant program, which offers funding at three levels. Travel grants of $800 are provided automatically. Small Grants of $2,000 are more or less awarded to all applicants (around 200 annually); these are mainly for people who carry full course loads, often in the humanities or social sciences. Large grants of $10-25,000 are carefully reviewed and funded at a rate of about 20%. The average is around 100 applicants per year – although this year there were 77 – and all are read. The

total budget for all grants has been just over $1million, and it was increased by 5% this year. The local COR also does ORU reviews. The committee has concerns about threats to animal research due to governmental interference and proposed legislation.

UC Merced: UC Merced's local committee (COR) has been working together with the Vice Chancellor for Research on restructuring its grant support for faculty. The campus is engaged in a search for a new Chancellor, and the Academic Senate is finishing its work on an ORU policy. The FBI came to the campus to brief administrators and faculty on federal intellectual property concerns. The campus is trying to reframe the discussion to focus on talent development and potential programs to mitigate the loss of talent from the US. The local committee has $175,000 available as grant funding, and there will be a proposal to request an increase and diversification in funding so that it may accommodate more diverse needs. There is a need for increased institutional administrative and technical support at UC Merced. Many feel that the current software services offered on the campus take too much time away from teaching and research.

Action: UCORP will collect information on each Divisional committee and its involvement/processes for faculty research funding. The topic will be put on a future agenda.

V. Consultation with the Office of the President – Office of Research and Innovation
Kathleen Erwin, Director, UC Research Initiatives
Janna Tom, Director, Research Policy Analysis and Coordination
Lourdes DeMattos, Associate Director, Research Policy Analysis and Coordination
Agnes Balla, Research Policy Manager
Ellen Auriti, Principal Counsel, UC Office of General Counsel

Overview
Last November, the Office of Innovation and Entrepreneurship, which had been established in 2016 by President Napolitano, was absorbed back into Academic Affairs and will be combined with research policy functions to become the Office of Research and Innovation. The former Tech Transfer unit will become the Knowledge Transfer Office, and will support campus technology transfer operations. The current work in graduate studies will join undergraduate affairs to form an office focused on student success. At UCOP, graduate student efforts are primarily focused on intersegmental, diversity, and pipeline programs. Work in the Office of Research and Innovation will still be very involved with issues of graduate students, including the funding of fellowships.

Research Policy Analysis and Coordination (RPAC)
- Update on cannabis-related research and funding from the cannabis industry
Some campuses have cannabis research projects, although funding is still an issue. Proposition 64 was supposed to provide money for research but there are many complicating factors and a web of bureaucracies that are slowing the process. Some funding comes from the tobacco tax funding and NIH. UC has offered to manage the funding distribution for the state via its Research Grants Program Office. UC has not signed on to a law suit over a delay in federal review of applications to become designated marijuana providers.

- Draft Research Data Policy
UC is revitalizing the effort to have a systemwide policy on ownership of research data. There was recently a settlement from a case where an Alzheimer's disease researcher went to USC from UCSD and took potentially very valuable intellectual property. The current systemwide policy is in the Academic Personnel Manual. The draft policy is modeled on the guidelines that were issued by UCLA and UC San Diego. Some concerns are around rights of graduate students and accommodating varying standards for data retention for disparate disciplines.

- NAGPRA (Native American Graves Protection and Repatriation Act)
A new California law required UC to create and implement a new policy on repatriation of Native American human remains and cultural items. The new policy was developed by a group that included representation from the Academic Senate and from Native American tribes and is currently out for review to the UC community

and over 200 other constituent groups. It is a complex area and there are new requirements regarding what materials can and cannot be available for research that will make some research endeavors challenging.

- Foreign influence issues

The federal government has concerns about foreign government appropriation of US intellectual property, and sees universities as prime targets. Emerging technology is a key concern and there is a moratorium on some foreign funding. UCOP is working on providing up to date guidance for researchers. [There is extensive background and guidance available from the UCOP Office of Ethics, Compliance, and Audit Services: https://www.ucop.edu/ethics-compliance-audit-services/compliance/research-compliance/foreign-influence.html]

- Draft Openness in Research Policy

A policy on Openness in Research was drafted in 2017 but put on hold. It lays out UC's principles about maintaining an open environment and avoiding citizenship and other restrictions. A new aspect of the policy is to include the potential that certain restrictions may be acceptable. A draft policy is anticipated to be circulated for review in the coming year.

The committee also briefly discussed recent issues around animal research. Members suggested that UC's Federal Government Relations (FGR) office should aggregate all beneficial research when formulating its message, and not necessarily call out research done with animals.

UC Research Initiatives
UC Research Initiatives manages much of the research grant funding of the university. The total grant funding available is $120 million, with $70-80 million of that from tobacco tax. Most of the recipients are long-standing statewide programs, and a small portion goes to cannabis research. Other programs The UCRI office is responsible for systemwide funding that comes to the UC system, not to an individual campus.

Multicampus Research Programs and Initiatives (MRPI) is now funded at around $7.5 million per year. UCORP will be asked to review the proposal for the next competition. More information on MRPI can be found on the website: http://ucop.edu/research-initiatives/programs/mrpi/.

Lab Fees Research Program (LFRP) uses UC's net fee income from managing the national labs to fund multicampus research efforts and graduate student fellowships. More information on the website: https://www.ucop.edu/research-initiatives/programs/lab-fees/.

Multicampus Research Units (MRUs) are the systemwide equivalent of ORUs. Oversight is provided by the faculty via the Academic Council through its committees. Reviews are led by UCORP with assistance from the Research Initiatives office. The MRUs have requirements for annual reports and periodic (five year) reviews. With a couple of exceptions, MRUs do not receive funding from UCOP on an ongoing basis. In place of regular funding, the Multicampus Research Programs and Initiatives (MRPI) funding is competition is run every two years; MRUs may apply. More information on MRUs can be found on the website: https://www.ucop.edu/research-initiatives/programs/mru/.

MRU reviews for this year are the UC Observatories and the Bioengineering Institute of California. Review committee members are invited to visit the Lick Observatory as a group in December or January. The committee analyst will follow up about dates. Material for UCORP members can be found on UCORP's Box site.

UCORP members asked about the Cancer Research Coordinating Committee (CRCC) and whether it is part of any administrative structure or undergoes any sort of review. CRCC is the longest running research funding program, created under President Sproul during a period of large growth in cancer research. The CRCC distributes the income from endowments from bequests made during that time and from the new breast cancer

tax. The CRCC provides one-year seed grants to help position researchers to apply for larger NIH grants. In the past, the committee has discussed whether this is the best use of the funds.

VI. Systemwide Review Items

UCORP will not submit feedback on the Proposed Revised "Presidential Policy on Native American Cultural Affiliation and Repatriation" or the Proposed Revised APM 230 on Visiting Appointments.

VII. Next Steps

The MRU reviews will be conducted in two teams. Chair Andrew Baird will lead the Observatories review. Vice Chair Richard Desjardins will lead the BIC review. UCORP members should let Committee Analyst Joanne Miller know which review they'd like to join.

The November meeting will be a videoconference.

Meeting adjourned: 4:00
Meeting minutes drafted by: Joanne Miller, UCORP Analyst
Attest: Andrew Baird, UCORP Chair

Meeting participants:

Andrew Baird (Chair), Richard Desjardins (Vice Chair), Irina Conboy (Berkeley, via phone), Karen Bales (Davis), Lee Bardwell (Irvine), Julian Martinez (Los Angeles alternate), Michael Scheibner (Merced, via video), Kelly Jeong (Riverside), Tannishtha Reya (San Diego), Stuart Gansky (San Francisco, via video), Liming Zhang (Santa Barbara), Paul Roth (Santa Cruz), Atreyi Mitra (Undergraduate Student Representative, UCLA), Jeanmarie Gonzalez (Graduate Student Representative, UCSF) Kum-Kum Bhavnani (Academic Council Chair, via video), Mary Gauvain (Academic Council Vice Chair), Kathleen Erwin (UC Research Initiatives), Janna Tom (Research Policy Analysis and Coordination), Lourdes DeMattos (Research Policy Analysis and Coordination), Agnes Balla (Research Policy Analysis and Coordination), Ellen Auriti (UC Office of General Counsel), Joanne Miller (Committee Analyst)