UNIVERSITY COMMITTEE ON RESEARCH POLICY
October 8, 2018

Meeting Minutes

1. Welcome and Announcements
Andrew Baird, UCORP Chair
Nasrin Rahimieh, UCORP Vice Chair

Committee members introduced themselves and Chair Andrew Baird provided an overview of the work of the committee. Members are free to express opinions based on professional knowledge and expertise as well as on behalf of their division (campus). Over the course of the year, UCORP will engage in consultation with the UC administration as part of the shared governance of the university. The committee may provide advice and guidance to UC administrators, as well as ask questions and make requests.

Anticipated topics for the year include follow up on items from last year, including UC's revised Export Control Policy, the Policy on Unmanned Aircraft Systems (drones), reproducibility in research, and open access.

- **Multicampus Research Units (MRUs)**
A significant portion of UCORP's time this year will be spent on reviews of two multicampus research units: the UC Humanities Research Institute (UCHRI) and the Institute for Nuclear and Particle Astrophysics and Cosmology (INPAC). Vice Chair Nasrin Rahimieh will lead the UCHRI review, while Chair Andrew Baird will lead the INPAC review. Members received handouts of the relevant sections of the [Compendium](#), which covers the creation, review, and disestablishment of MRUs. UCORP members may choose which MRU they want to review.

Chair Baird would also like to provide feedback to the Office of Research and Graduate Studies about the process of the review, so members should keep that in mind as the year progresses.

The current list of nine MRUs are those that have verified that they would like to continue as designated MRUs, even if they do not receive ongoing systemwide funding, with all of the requirements that the designation brings. Committee members felt that, as UC-identified entities, all multicampus units should be monitored for quality, even if they are self-supporting.

UCORP members wanted to know whether there was any systematic monitoring of entities that exist outside of the MRU framework. They expressed interest in seeing the "big picture" of all multicampus units that are funded or sponsored in some way, and wanted to know whether there is oversight of MRPI awardees when (or if) the collaborations continue as self-supporting programs.

Issues around ORU maintenance, dissolution, and creation impact the campuses as well; many campuses create "centers," "institutes," and "interdepartmental programs" rather than ORUs.

2. Policies Undergoing Systemwide Review

One committee member expressed concerns about possible unintended consequences of the [Proposed Revised Presidential Policy on Sexual Violence and Sexual Harassment](#) on the work of researchers.

Action: UC Berkeley member Irina Conboy will investigate further and bring specific concerns to the next meeting on November 19. Comments are due on Dec. 5.

An issue raised about the [Proposed Revisions to Presidential Policy on Use of Vehicles and Driver Selection policy](#) (BFB-BUS-46) was lack of mention of autonomous vehicles. Since that is a research issue, UCORP will send feedback that the policy should consider the research of UC faculty into autonomous vehicles.

Action: Chair Andrew Baird will draft a response for the committee to review at the next meeting on November 19. Comments are due on Dec. 5

3. Consultation with the Office of the President – Office of Research and Graduate Studies (ORGS)

Arthur Ellis, Vice President for Research and Graduate Studies
Bart Aoki, Executive Director, Research Grants Program Office
Kathleen Erwin, Director, UC Research Initiatives
Wendy Streitz, Executive Director, Research Policy Analysis and Coordination
Lourdes DeMattos, Associate Director, Research Policy Analysis and Coordination

- **Q&A with VP Art Ellis**

Vice President for Research and Graduate Studies Art Ellis stopped in during lunch to introduce himself to new committee members and talk briefly about the MRU review process.
He agreed that even MRUs that are not receiving central funds need to be held accountable for their systemwide utility. Only a few MRUs are getting consistent money through ORGS.

VP Ellis mentioned a UCOP-formed "tiger-team" focusing on international agreements and export controls, stemming from federal concerns about issues of national security, espionage, and IP theft. He noted that the passage of UC's Export Control Policy last year is considered as a success in that area. The decommissioning of cesium irradiators (about 90% within UC) is also seen very positively.

VP Ellis said that within ORGS, most funds are categorized as "restricted" and there is very little discretionary funding. Some general funding goes to operations of the UC Observatories.

Committee members asked about mechanisms to review past investments, such as the MRPI recipients. Tracking and determining the success of multicampus entities is ongoing; Ellis mentioned SciVal and tools that offer metrics for evaluation. Members also asked about the establishment of new MRUs, and whether that would be possible given the requirements and lack of funding.

UCORP requested an overview of all MRUs and alternatives (centers, institutes, etc.), that includes oversight and funding.

- **Research Policy**
Executive Director Wendy Streitz and Associate Director Lourdes DeMattos introduced the Office of Research Policy Analysis and Coordination ([RPAC](#)) and provided an overview of recent policy and legislative issues

  - **Possible impacts on federal funding requirements due to concerns about foreign influence.**
NSF and NIH are working with the federal government to address concerns about foreign influence in research, including federally-funded researchers who have significant foreign relationships, and in particular with China. NIH Director Francis Collins [made a statement](#) in August about the issue. The NSF Inspector General is concerned that affiliations are not being properly disclosed, but disclosures are often dictated by campus Contracts and Grants Offices. Guidance will be provided to research administrators as the situation evolves.

  - **NAGPRA (Native American Graves Protection and Repatriation Act)**
NAGPRA was discussed at the [September Regents meeting](#), since a new bill was passed in the last legislative session and signed by Governor Brown. The university will shift to prioritizing the repatriation of Native American artifacts and remains, rather than focusing on the scientific and research value. President Napolitano is setting up an advisory committee while Provost Brown convenes a working group to review the current UC policy and propose revisions. The advisory committee will make recommendations for when remains may be used for research and when UC may repatriate beyond what is required by law. The recent bill targeted UC and requires the university to take specified actions in order to get State funding. Although the bill clashes with UC's constitutional autonomy, the university is proceeding with the requirements.

  - **Cannabis-related research and funding from the cannabis industry**
UCOP will [provide advice](#) to campuses on how to conduct research in cannabis-related areas. Marijuana is still illegal in federal law, and UC receives federal funds. Although there are some

grey areas, such as industrial hemp and cannabidiols (CBDs - recently used to treat epilepsy), UC cannot accept funding from the cannabis industry. Researchers who have questions should contact the Research Policy Analysis and Coordination (RPAC) Office. RPAC communicates with the campuses on this issue primarily through its constituents in research administration and research compliance (not development).

- **Gates Foundation and Intellectual Property**

The Gates Foundation has introduced a background IP technology clause in its funding contract. Although it's for humanitarian purposes, with good intentions, there are legal and philosophical issues that prevent the university from accepting the clause. The issue still under review, and negotiations continue.

- **UC's response to NSF's proposed reporting requirement for sexual harassment, other forms of harassment and sexual assault**

The new requirements from NSF for reporting harassment and sexual assault begin as of Oct. 21. UC finds some of the language to be unclear, such as what constitutes an administrative action, and has some privacy and timing concerns. UCOP sent a letter when the new requirements were proposed, and is sending a new letter reiterating the concerns. This type of reporting now required has not generally been within the purview of campus Contracts and Grants Offices, and most do not want the new responsibility. Going forward, there will have to be additional communication between the campus reporting office (e.g., Title IX) and the Contracts and Grants Office. RPAC will be issuing guidance.

- **UC Research Initiatives updates**

Research Grants Program Office (RGPO) Executive Director Bart Aoki introduced himself and the Research Grants Program Office. RGPO administers university research programs and statewide programs on behalf of the state, including HIV/AIDS, breast cancer, and tobacco-related disease research. Recently, UC received $3 million from the State for research on valley fever. Another source of funding is via voluntary tax form contributions.

UC Research Initiatives Director Kathleen Erwin introduced (for new members) the UC Research Initiatives, which administers the Multicampus Research Programs and Initiatives (MRPI) awards, Laboratory Fee Research Program (LFRP) awards, new and special projects, and manages the MRU reviews.

- **Joint appointments between UC campuses and UC-affiliated national labs**

The proposed framework for joint appointments between UC campuses and UC-affiliated national labs enables campuses to use a uniform MOU structure, while giving them flexibility to customize agreements for their own needs. UCORP provided input to the framework last year. Livermore and UC Berkeley have offered their templates to be used as the standard.

- **MRU reviews for this year**

Director Erwin described the Compendium, which was first compiled in 1980 to provide a reporting structure to the variety of existing multicampus entities. In the past two years, UCORP has worked with ORGS to develop a process for aligning MRUs and develop a review schedule for the nine current MRUs. Erwin suggested that committee members might want to look at the recent reviews of the [Institutes for Transportation Studies](#) (2018) and [UC MEXUS](#) (2016). Annual Reports are provided from each MRU, and are available on the committee's SharePoint site. Five year reviews are conducted over the course of an academic year based on a [standard timeline](#).

- **Lab Fees Research Program and Development of Thematic Topics**

The next cycle of "Collaborative Research and Training" awards for 2020 will start with an RFP in the spring (see: [LFRP website](#)). These are the awards for collaborations between four or more campuses and Lawrence Livermore or Los Alamos National Lab. Each proposal has a PI from each institute. In the past few years, the awards were aligned to thematic areas. The staff is now seeking input from UCORP, ACSCOLI, and others about the next areas. Ideas that have come from the labs include: Quantum Information Science, Data Science/Machine Learning, Additive Advanced Manufacturing and Materials, Fire and Water, and Accelerator Research. Campuses see benefits from the cross-campus interactions. Awards are usually for three years, and average around $3 million. The proposals are asked to include student training and mentorship aspects. Once received, they are reviewed by multidisciplinary academic panels, composed primarily of non-UC researchers, including scientists from non-UC-affiliated national laboratories.

- **Multicampus Research Programs and Initiatives**

In 2009, funding for MRUs was moved to the MRPI program (see: [MRPI website](#)), to allow new entities to form and compete for funding. This year there will be $8 million in awards.

UCORP requested a visualization or chart of the big picture of multicampus research units, whether or not they are designated as MRUs. The data would include information on establishment, funding, oversight (including Senate involvement), and disestablishment criteria. Some committee members felt that the MRU section of the Compendium might need to be revised.

4. Academic Senate Leadership update
Robert May, Academic Council Chair
Kum-Kum Bhavnani, Academic Council Vice Chair
- *Faculty salaries.* This year's increase was 4% for on-scale salary. The Senate continues to work on the next two years of its three-year plan for closing the faculty salary gap between UC and its comparator institutions.

- *Multi-year budgeting for the campuses.* UC is working with the legislature on a budgeting approach that would smooth economic ups and downs.
- *Librarians and academic freedom.* This has become an issue in contract negotiations between UC and the union representing some non-Senate academic appointees and librarians (not Unit 18 Lecturers). The Academic Council discussed the issue at its last meeting and will write a letter in support of ensuring that non-Senate academic appointees (including librarians) have proper protections for academic work that they do in the context of their appointments. A task force is being formed to develop a policy or alternate way to ensure appropriate protections.
- *Elsevier license negotiations.* The Elsevier contract is up for renewal and the libraries are pushing for open access improvements. They are developing contingency plans, but there may be some loss of access if the negotiations are not successful. There is now a lot of support from faculty around open access.
- *Huron Report/UCOP Restructuring.* Restructuring within the Office of the President is a result of a state audit from last year. Some changes have already been made, such as within the administrative structure of UC's Education Abroad Program, housed at UCSB. The Academic Council is concerned with ensuring that shared governance procedures are followed when changes are made. The most recent proposal was the consolidation of the UC-Mexico entities, which UCORP commented on. Although that was an expedited review, it is anticipated that future restructuring reviews will receive the full 90-day review opportunity. Also related to the restructuring effort, UC has convened two "tiger-teams," one for Agriculture and Natural Resources (ANR) and the other for UC Health (as narrowly defined as a division of OP as the unit with responsibility for oversight of UC's health sciences schools, medical centers). Reports will be released soon.
- *Transfer guarantee.* UC is working on a transfer guarantee for students from community colleges. BOARS is taking the lead for the Academic Senate. The guarantee is via a transfer pathway (developed for the 21 most popular majors), to the UC system, and will have GPA requirements.
- *Admissions tests.* The Academic Senate will look into the role of the SAT and ACT as predictors of educational success. President Napolitano is interested in the findings.
- *Active service modified duties.* Rules have been adapted so that it is equivalent among campuses (2 semesters or 3 quarters).
- *Domestic partner equity.* There is new eligibility for domestic partners for health and welfare benefits. The changes will be noted in the Open Enrollment information this year.
- *AYSO and pension theft.* The Academic Council pressured the administration to re-pay the three retirees whose pension payments were diverted when their AYSO accounts were hacked. The administration is also looking into additional security for its retirement financial systems.

- *International agreements and students task forces*. There are two task forces at UC working on issues around security and intellectual property concerning international agreements and international students.

5. Campus Reports

Campus reports were brief, as many campus CORs had not met yet. Berkeley, UCSF and UC Santa Cruz have new Vice Chancellors for Research.

UCLA has charged a Task Force on Research Infrastructure to do an 18-month initial assessment of the current state of affairs that will be used for future decisions. The Task Force will examine UCLA's research infrastructure (physical, etc.) as well as find out what other campuses are doing to monitor their research infrastructure.

UCSF has a new VCR – Dr. Lindsey Criswell. UCSF is in the midst of a 87% of its goal focusing on 3 areas: Decoding Life to Improve Health, Leveraging Discovery to Revolutionize Care, and Partnering to Achieve Health Equity. UCSF is conducting strategic planning for renovating the Parnassus Heights campus over the coming decades, including ideas such as CoLabs as a new model for collaboration and providing research core resources.

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

Members Attending: Andrew Baird (Chair, SD), Nasrin Rahimieh (Vice Chair, I), Irina Conboy (B), Karen Bales (D), Jeffrey Barrett (I), Richard Desjardins (LA), Michael Scheibner (M), KK Ramakrishnan (R), Brian Eliceiri (SD), Stuart Gansky (SF), Harry Nelson (SB), Jarmila Pittermann (SC), Robert May (Academic Senate Chair), Kum-Kum Bhavnani (Academic Senate Vice Chair)

Consultants and Staff: Arthur Ellis (UCOP), Bart Aoki (UCOP), Wendy Streitz (UCOP), Kathleen Erwin (UCOP), Lourdes DeMattos (UCOP), Joanne Miller (Committee Analyst)