

UNIVERSITY COMMITTEE ON RESEARCH POLICY
Monday, November 19, 2018
Meeting Minutes

1. Chair's announcements, agenda review, approval of minutes

Meeting minutes from Oct. 8, 2018, were approved.

Chair's Announcements:

Chair Andrew Baird described the draft UC ANR Advisory Committee Report that was sent with the agenda. Based on recommendations from the Huron Consulting Group, the Advisory Committee was charged with reviewing the structure of the Division of Agriculture and Natural Resources within the Office of the President. ANR is a large part of the budget of the university, and a major figure in its founding. Academic Senate provides oversight via the UCPB Task Force on Agriculture & Natural Resources ([TFANR](#)), which has representation from UCORP.

Chair Baird reminded the committee that earlier this year, UC successfully bid for the management and operations contract for Los Alamos National Laboratory. UC joined with Battelle and Texas A&M University to form Triad, LLC to manage and operate Los Alamos National Laboratory for the National Nuclear Security Administration (NNSA).

So far this year, the Academic Council has spent time hearing from the administration about and discussing budget planning, faculty welfare, potential restructuring to parts of OP (ANR, UC Health, UC Press), transfer guarantee, and NAGPRA. In October, Board of Regents Chair George Kieffer joined the Academic Council meeting to talk about priorities for the university. There are several new Regents that were appointed by Governor Brown in August.

The tiger teams on international relationships will release their reports soon.

2. Follow up items from last meeting:

1. Comments on Proposed Revised [Presidential Policy on Sexual Violence and Sexual Harassment](#)

The revised draft Presidential Policy on Sexual Violence and Sexual Harassment was discussed at some local committee meetings and with Vice Chancellors for Research. Some members expressed concern with the section on Amnesty, and whether it was overly protective of claimants. The fear that accusations could be leveled in retaliation for negative evaluations for research or job performance in a lab could have a negative impact on research. Although the policy contains some privacy protections, the nature of Title IX investigations cannot guarantee confidentiality.

UCORP will send comments describing committee member concerns.

2. Comments on Proposed [Revisions to Presidential Policy on Use of Vehicles and Driver Selection](#) (BFB-BUS-46)

Chair Baird noted that research on autonomous vehicles may be impacted by this policy. A draft letter will be circulated to members for review before being submitted to Council Chair Robert May.

3. Comments on Potential Thematic Areas for the Laboratory Fees Research Program

UCORP discussed the thematic areas alone and with the committee consultants. UCORP members consulted with their respective campus committees, and are generally enthusiastic about the LFRP program and the proposed topics. The committee agreed that there is a strong rationale to limit the competition to three areas, consolidated from those listed, to allow for significant funding for each area.

The committee noted that a proposed focus on **Fire and Water** was both topical and significant to California (and all of the western US) and its economy. It also noted that research funded under this topic could provide UCOP with some clear “deliverables” that demonstrate the importance of UC as a research institution to the well-being of all of California. The topic is practical, topical and hugely relevant to almost all aspects of the California economy and its population. It was also noted that at least two of the proposed categories, namely the themes of **Data Science** and **Additive Advanced Manufacturing and Materials** could be modified to fall under this general topic. If the former were included within the scope of **Fire and Water**, for example, then elements within Data Science (research advancing machine learning, cognitive computing and simulation), could be targeted to a real problem that could then exploit precision measurement and tailor predictions to guide experimentation in that field. Similarly, the inclusion of **Additive Advanced Manufacturing and Materials** under the aegis of **Fire and Water** would enable research advancing the development of new materials and technologies for additive manufacturing as it relates to fire and burns including (but not limited to) applications like bioprinting, vascularizing tissues, and optics targeted to a real and practical problem: fire and burn mitigation and prevention.

The two other areas of research, namely **Quantum Information Science** and **Accelerator Research** were enthusiastically received albeit for different reason. Although the areas appear less topical and perhaps less relevant to the everyday life of Californians, there is tremendous interest and unique capacity and expertise in a National Laboratory-UC collaboration in both these fields. They are viewed as critical investments in building teams that will be competitive in National funding programs in the years to come. These topics are therefore important in keeping the UC efforts competitive in emergent fields.

The committee also noted that:

1. It is critical to develop metrics to assess the impact of the funded research. This could mean developing clear and specific milestones or perhaps using a third party assessment of knowledge gained and impact.
2. The LFRP program should look at ongoing initiatives elsewhere in UCOP that are aimed at fostering collaborations. One such example is the MRPI program which offers separate pilot funding to enable investigators from multiple campuses to pull teams together for formal full applications. LFRP might consider an analogous program suiting its unique aims: for example, initially supporting multiple projects with knowledge that only a few would progress to full programmatic (and longer term) funding. This approach would expand the net, increase impact, promote *new* interactions and provide resources for team building that might well endure even if not formally funded for longer term.

3. MRU Review Assignments & Planning

Each MRU team will convene on its own, using the outline provided by Vice Chair Rahimieh. The goal is to have drafts by January. MRU Directors will be invited to the UCORP meeting in February.

4. Academic Senate Leadership Update

Academic Council Chair Robert May and Vice Chair Kum-Kum Bhavnani joined the meeting to provide an update on current Senate activities.

- In the wake of campuses in northern California closing due to unhealthy air from smoke blowing in from the fire zones, the administration is discussing whether there should be campus or systemwide guidelines for these types of situations.
- The two “tiger teams” on international agreements stemming from federal government concerns about protection of intellectual property and espionage will be reporting on their findings. The Academic Senate’s main concern is ensuring that fundamental academic values are not compromised by the government. One group focused on contracts and grants, while the other was concerned with students.
- The union representing UC’s librarians is asking that Academic Freedom be part of the negotiated contract. The Council of University Librarians (the University Librarian from each campus) and the Academic Council have issued statements about the need for appropriate protections along with attendant obligations and responsibilities. A small working group co-chaired by Robert May and Chancellor Blumenthal will be convened to develop a draft policy, which will be widely distributed for comment. Chair May said that Academic Freedom is codified within the university in APM 010 and 015.
- John Stobo, the Executive Vice President of UC Health, is retiring. The office has oversight of all health science operations, through which UC generates 40-50% of its revenue. Approximately 35% of academic senate members work in health sciences. The change in leadership provides an opportunity for an in-depth review and development of a vision for the office.
- The UC libraries are negotiating a contract renewal with Elsevier and are taking a hard line around licensing and open access. If negotiations fall through, the libraries will employ various methods to mitigate any interruptions in access to Elsevier publications that may result. Reviewers, editors, and authors are not affected by these negotiations.
- Chair May has asked UCPB, UCAF, and CCGA (as the lead) to take look at self-supporting graduate professional degree programs to find out if they have met their original goals. As distinct programs, it is necessary to review these programs and analyze the balance with other university programs. Some campuses have a large number of self-supporting programs while other have very few. They cost more money for students, and tend to not be very diverse.
- Work on the transfer guarantee proposal continues with BOARS as the lead committee.
- A standardized testing task force will be convened to look primarily at the SAT as a predictor of undergraduate success. Some members of the task force will be chosen for their expertise in the subject. The national press will be very interested if UC makes a change to its SAT requirements.
- UCEP is investigating the possibility of awarding posthumous degrees after the university received a request from the parents of a UCLA student. There are policies about certificates for completing a certain amount of work, but no systemwide policy for degrees.
- The California Assembly Higher Education Subcommittee held a hearing devoted to faculty diversity at UC in Sacramento on October 23. The Chair of the committee is from Riverside and devoted to increasing faculty diversity at UC.

5. Campus Reports and New Business

UC Berkeley: Berkeley's Vice Chancellor of Research came to the COR meeting to talk about international agreements and requirements. The committee also discussed whether NDAs or similar are appropriate within the laboratory setting. COR has also been talking about indirect costs and how they are distributed. There is work to keep the overhead costs with the project. The COR has just begun to look at the ORU review policy, and is involved with grant proposals, which are awarded via a few different channels.

UC Davis: UCD's COR manages a \$1.1 million Academic Senate grant program. The budget was decreased by 2% a few years ago, but is now fairly stable. The funds are divided into thirds for: travel grants, small grants (around \$2,000) and large grants (cap of \$25,000). As the number of faculty has grown, the grants have become smaller. Priorities for the year include working with the Office of Research to lower barriers to partnering with private industry, discussing issues with F&A rate instability, laboratory space and renovations, and development. There will be two ORU reviews. The committee was asked to comment on proposed revisions to the campus' "key and access card" policy. The University Librarian updated the committee on negotiations with Elsevier and what to expect.

UC Irvine: UCI's COR would like to increase the funding available for research, especially in the arts and humanities. The committee is looking at SSGP (self-supporting graduate programs), which can be taxed by the campus, for ways that they can be considered as sources of revenue for the whole campus. The campus is concerned about new hires in the medical school that are connected with a large donation from a foundation that specified a focus on integrated medicine. The medical school is in the process of making fifteen hires in the next five years and wants to make sure the faculty are top quality. COR reviews approximately six ORUs per year. The details of faculty grants are left to deans, but there is around \$600 per Senate FTE.

UC Merced: Merced's COR is looking for a vice chair and more committee members. The committee is working on revising the ORU policy. The faculty grants program is underway with a call for proposals. The committee is asking for more discretionary funds to be used for start-up. Ongoing issues include a change to the limited submission process and potential restructuring of the grants program.

UC Riverside: UCR's COR discussed the Proposed Revised Presidential Policy on Sexual Violence and Sexual Harassment and members had concerns similar to those already discussed at UCORP about whether normal interactions in the process of conducting research could end up triggering a complaint, and whether there were sufficient protections for the accused. The campus is looking at budget models for decentralizing the allocation of funds. UC Riverside predicts additional budget needs in the future for salaries and benefits needs due to campus expansion in the past few years. The School of Medicine is undercapitalized and dealing with the impact of a decentralized budget model. The campus is going through a detailed review of space and lab space allocation, led by the administration. The COR has not been involved in ORU reviews in the last three years; it does do grant reviews.

UC San Diego: UCSD's COR will be involved in four ORU reviews this year, starting with a preparatory meeting with an Associate Vice Chancellor. The committee is not involved in faculty grants.

UC San Francisco: UCSF has a new Vice Chancellor for Research, Dr. Lindsey Criswell. There is a different Vice Chancellor for Science Policy and Strategy. The campus is sorting out its advisory boards, which has provided an opportunity to talk about shared governance. It is the 10th anniversary of the campus' Resource Allocation Program (RAP), which coordinates research funding. In 2017-18 \$5.5million in very competitive intramural funding was awarded to 117 applicants including the Academic Senate awarding almost \$1million to 23 applicants, averaging almost \$42,000 per recipient. These grants are seen as seed money. The grant applications were previously reviewed by COR, but are now part of RAP with COR involvement. The campus is waiting for the appointment of a permanent Vice Chancellor of Ethics and Compliance before conducting ORU reviews.

UC Santa Cruz recently announced its call for new and special faculty research grants. Additional funding for \$4,000 grants was provided for new faculty that have been at the university for a year or less. Anyone can apply for the \$1,500 research grants, and junior faculty may receive an additional \$2000. \$8,000 "special" research grants are awarded selectively. Until recently, faculty were not allowed to purchase equipment with COR grants, but that constraint has been lifted. The COR is working to improve communication with the Office of Sponsored Projects, so that faculty know what services are available. The committee would like to increase the help available for proposal preparation and is asking for funding to support more analysts. UCSC is hiring a new Director of Marine Sciences, which encompasses many research-intensive subfields.

6. Consultation with the Office of the President – Office of Research and Graduate Studies

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, RPAC; Emily Rader, ORGS Portfolio/Strategies Manager

1. Tiger Teams update

Reports from the "tiger teams" that are investigating the issues of foreign interference in international agreements and students will be released soon. More background about these issues will also be forthcoming, and guidance around conflict of interest and related issues will be distributed to faculty. UC has talked with NSF and NIH about providing more clarity about what is required on their forms.

Campuses that want more specific information should start with their Vice Chancellor for Research. There is much differentiation in level of concern, from very worried to complacent. UCORP members suggested holding town meetings on the campuses to better disseminate information, and that each campus have a central point of contact for hot-button issues and support. As the landscape changes, communication become even more critical, and the various offices with responsibility need to talk to each other, as well as to colleagues around the country.

ORGS staff reminded committee members that disclosure forms are generally for "key personnel," and that post-docs and graduate students are not usually in that role. UC does not allow citizenship restrictions for research teams.

2. NAGPRA developments

As reported at the last meeting, the President and Provost have commissioned two groups. One is Advisory Council that will advise on Native American issues (NAGPRA and others). The Workgroup will work on revising UC policy and will have representation from the Native American community, Academic Senate, and Advisory Committee members. A fundamental tenet will be repatriation.

3. Valley Fever research RFP

As reported at the last meeting the state has awarded \$3 million to UC for Valley Fever research. An RFP will be released at the beginning of December. The call is broadly framed, so most researchers in the field will find something. See the [UCRI website on UC Valley Fever Research](#) for more information.

4. 5-year UCHRI and INPAC MRU reviews

Chair Baird informed VP Ellis that the committee would divide into two groups, one for each MRU, and expected to have reports completed by March. Members asked about the granularity of the budget questions, and the burden on the MRUs of preparing the reports, especially if they received very little funding from UCOP. Director Erwin said that the intent of the templates was to have forms that could be used universally. There are opportunities for each MRU to decide which sections of the template to fill out, within limits.

5. Classification of system-wide research programs

UCORP members reviewed the spreadsheet provided by ORGS and suggested possible additional columns, such as how much funding comes from UCOP. Neither UCHRI nor INPAC have systemwide funding, although UCHRI has received MRPI funding for the past 9 years. ORGS staff mentioned the work of the [Portfolio Review Group](#) in 2012-2014. The PRG was formed to look at “principles and processes that guide UCOP-funded research programs and recommend a comprehensive framework to guide future decision-making and assessment of UCOP research investments.”

6. LFRP Thematic Areas

Director Erwin talked about the way the LFRP thematic areas are chosen with input from the labs and from UC. In the past, the themes have been narrowed down to three. For the last RFP, three Vice Chancellors for Research sponsored workshops on their campuses to bring together researchers from the labs and campuses over a topic. There were also other opportunities to connect.

7. Changes in ORGS

VP Ellis announced that Wendy Streitz is leaving UC to join COGR, the Council on Government Relations, a national association of research universities, affiliated medical centers, and independent research institutes.

7. Consultation with the Office of the President – Office of the National Laboratories

Kim Budil, Vice President for National Laboratories

Vice President for National Laboratories Kim Budil said that she was still interested in revising the White Paper on the relationship of UC with the National Laboratories that was proposed by last year’s UCORP members. She thought that the process writing the paper was valuable, and that it was worthwhile to have it as an archival document.

Los Alamos Update

A large part of VP Budil’s work in the last year was managing UC’s re-competition for the Los Alamos National Laboratory contract. Her office developed a new partnership model and teamed up with two partners, Battelle and Texas A&M University, under the name Triad LLC. After winning the contract in June, the new management took over the lab at the beginning of November. There is a new leadership team, and all operational elements are run by new people. The new Director is very

experienced and Budil is pleased with the team and employees. There is also a new governing board, which will now be separate from the board that oversees Lawrence Livermore National Lab. Regent Ellen Tauscher is chair of the Board, and UC has a faculty observer (Professor Bob Powell, from UC Davis, who has served on the previous board in the same capacity). Texas A&M has a greater focus on nuclear engineering and more of a national security focus than UC.

Lawrence Livermore Update

The management contract for Lawrence Livermore National Laboratory could run until 2026 if the grades continue to be good. LLNL has some interesting programs with UC right now, including a growing partnership in biomedical research with UCSF. The Department of Energy continues to fund high performance computing applications in health science. VP Budil visited all ten campuses last year to find out about campus priorities and figure out how to bring communities together. Part of the campus tour was to spread the word about Hertz Hall at LLNL, which will be repurposed as systemwide UC facility. Potential uses for the site include extension programs, distance learning, or “hotel” office space. Some would like to see something like the Kavli Institute that would bring people together in a topical area for a period of time.

Berkeley Lab Update

LBNL is seeing increases to its budget, but knows that it won’t last forever. Due to building projects on the hill, the labs that were dispersed all over Berkeley are now relocating to the main site above the Berkeley campus.

Laboratory Management Offices

VP Budil’s office is focusing on how to do be more efficient now that there is an additional management structure to deal with. The office is not ruling out involvement in other national labs or research centers if there is a suitable role for UC. In order to increase communication with the UC campuses, the labs are undertaking an “ambassador” speaker series whereby mid-career scientists receive lab support to visit campuses. The Laboratory Management Office is considering adding a “Partnerships & Outreach” position that would focus on relationships with campuses and others.

Meeting adjourned: 3:55pm

Meeting notes drafted by: Joanne Miller, Committee Analyst

Attest: Andrew Baird, UCORP Chair

Members attending in person: Andrew Baird (Chair, SD), Jeffrey Barrett (I), Michael Scheibner (M), KK Ramakrishnan (R), Harry Nelson (SB), Jarmila Pittermann (SC), Tejasvinee Mody (Graduate Student Representative, UCR), Robert May (Academic Senate Chair), Kum-Kum Bhavnani (Academic Senate Vice Chair)

Members participating remotely: Nasrin Rahimieh (Vice Chair, I), Irina Conboy (B), Karen Bales (D), Brian Eliceiri (SD), Stuart Gansky (SF)

Consultants, guests, and staff: Kim Budil (UCOP) Arthur Ellis (UCOP), Bart Aoki (UCOP), Wendy Streitz (UCOP), Kathleen Erwin (UCOP), Lourdes DeMattos (UCOP), Emily Rader (UCOP), Joanne Miller (Committee Analyst)