

**UNIVERSITY COMMITTEE ON RESEARCH POLICY**  
**Monday, November 8, 2021**

**Meeting Minutes****I. Welcome, Chair's Announcements, Approval of Meeting Minutes**

*Karen Bales, UCORP Chair*

- ***Chair's announcements and updates***

Chair Karen Bales welcomed a couple of new members and updated the committee on recent work of the Academic Senate and Council.

- The Academic Senate's ad-hoc climate group is discussing whether to send a "[Memorial](#)" to the UC Regents.
- Vice President Theresa Maldonado is developing a budget request for a systemwide collaborative climate crisis effort.
- In the recent report from the faculty group on Mitigating the Impacts of Covid-19 on Faculty, one of the recommendations is for expanded programs to support research.
- The Chair of the Board of Regents, Cecilia Estolano, joined the last Academic Council meeting to talk about her priorities and get input from faculty. She is interested in equitability in spending, expanding enrollment (including graduate students, and with the understanding that more staff and faculty are needed as well), and expanding UC's role in addressing climate change.
- UCORP will be asked to comment on the Report of the Regents Working Group on Innovation Transfer and Entrepreneurship.
- Chair Bales and UCSB member David Stuart joined presentations by the finalists for the position of Executive Director of the UC Observatories.

- ***Report from ACSCOLI Meeting (Javad Lavaei)***

ACSCOLI met with UC Board of Regents' member Jay Sures, who chairs the Regents Committee on the National Labs. Sures talked about the Lab Fees Research Program and other benefits to UC from partnering with the national labs. He mentioned UC's interest in potentially managing other labs where interests are aligned. ACSCOLI continued its discussion of joint appointments and how these can be facilitated. Differences in accessibility to labs between campuses in the north and south has led to the development of a "SoCal hub" to facilitate collaborations between southern campuses and national labs.

**Action:** Meeting minutes from October 11, 2021, were approved.

**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*

*Kathleen Erwin, Director, UC Research Initiatives*

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

*Emily Rader, Research Portfolio Manager*

- ***Progress on establishing a systemwide Council on Research***

Provost Michael Brown asked about transitioning the current Council of VC-Rs into a Council on Research rather than establishing a new committee. Vice President Maldonado has been convening the COVCR regularly

since she started at UC in early 2020. The current group includes representatives beyond the VC-Rs, with frequent guests from the Academic Senate and elsewhere.

UCORP members asked about the difference in the charges of the two groups, and whether the expansion of the COVCR would suffice for both. Members also asked about how priorities might differ between the groups, and the risk that some priorities would be subsumed. The documented rationale for resurrecting the CoR is the need for oversight of multi-campus entities. While the Vice Chancellors of Research are interested in this, there are other more administrative issues on their agendas.

- ***Climate Crisis Response***

VP Maldonado has submitted a concept paper on climate to the UC Global Climate Leadership Council. The proposal for funding comprises all disciplines and focuses on impact and outcome. It will be shared once it is vetted by higher administration.

- ***Report of the Regents Working Group on Innovation Transfer and Entrepreneurship***

The final recommendation in the Report of the Regents Working Group on Innovation Transfer and Entrepreneurship was to “establish a Regents special committee on innovation transfer and entrepreneurship to provide implementation oversight.” The special committee has been formed and now meets every two months. The Regents would like to see the implementation of the recommendations in the Report completed in two years. UCOP has formed a core team from R&I, UC Legal, Ethics & Compliance, the CFO’s Office, Investments, and External Relations to review the 13 recommendations. Maldonado noted that the Report highlighted five policies, but there are others. The top priority right now is upgrading the patent tracking system. RPAC staff are looking at research-related policies, which will impact sections of the Academic Personnel Manual. Senate input is requested and will be crucial as policy changes are made.

UCORP members inquired about campus involvement in the Report implementation, in particular the offices dealing with tech transfer. The VC-Rs and chancellors will be briefed. Bruce Hunter, the new Executive Director for Knowledge Transfer and Innovative Partnerships is engaging a consultant along with the systemwide CFO’s office and will work on engaging campus stakeholders, including local entrepreneurs, starting in December.

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

- ***Foreign Influence Audit update***

Undue “foreign influence” continues to be a big topic nationally. New rubrics and security vetting processes have come out from the government for federally-funded programs. UC’s internal audit yielded corrective actions that were addressed quickly and are almost completed, including one of the policy revisions currently under review. UCOP’s Office of Ethics, Compliance and Audit Services developed new training for UC researchers that was recently rolled out and has a high compliance rate. The Office of Research Policy Analysis and Coordination (RPAC) has also issued guidance memos (<https://researchmemos.ucop.edu/index.php/site/publicationDate>). The UC administration continues to work on guidance for managing noncompliance, such as late or incorrect disclosures.

Relatedly, every campus has an escalation protocol for foreign influence concerns. Faculty are informed if a vendor or potential partner is considered high risk. Potential outcomes of risky activities include increased scrutiny by the US government, or potentially the compromise of data or an employee. Faculty are encouraged to talk to their department chair or other administrative lead for more information.

- ***PDK (Process Design Kits) issues***

PDKs (Process Design Kits) are commonly used in chip engineering but are also a controlled technology. In researching the issue, UC found that there was a “release of the technology” in both teaching and research environments that is forbidden to persons from certain countries that are under sanction by US law. Exceptions

for individuals can be obtained, and discussions are ongoing regarding what to do in classroom situations. Any instructor using PDK technology in a classroom should speak to local export control officer to find out the options.

- **UC Research Initiatives**

*LFRP*: The Lab Fees Research Program (LFRP) competition is wrapping up. Four review panels evaluated proposals and selected awardees. The university has \$20 million for the program, which includes the graduate student fellowship awards. The awardees will be announced in December.

*CRCC*: The Cancer Research Coordinating Committee will issue its call for proposals in December.

*MRPI*: The Multicampus Research Programs and Initiatives call will be out in spring 2022. This year's call is issued every two years and offers larger, multi-year grants.

*MRU Reviews*: When looking at the MRU self-reports, committee members should be aware that the templates for the data reporting (the appendixes) are the same for all MRUs. The committee may want to make recommendations for changes that could be incorporated when the process is reviewed, such as different requirements for data elements depending on the type of MRU.

More information on UC Research Initiatives: <https://www.ucop.edu/research-initiatives/programs/>

### **III. MRU Reviews**

The leads for the two MRU Review Groups divided the sections of the report. The CCGA liaisons joined the meeting and will take on the sections on student impact.

This year the process for five-year MRU reviews will be evaluated and committee members should be ready with feedback. Some MRU Directors feel the extensive reporting requirements are too burdensome, especially relative to funding received.

MRU Review Group members should read their assigned reports and be prepared to come up with questions for the MRU Directors, who will join the February UCORP meeting.

### **IV. Academic Senate Leadership Update**

Senate Chair Robert Horwitz provided an overview of current activities of the Senate.

- The report of the Working Group on Mitigating the Impact of Covid-19 on Faculty Careers was sent out to the campuses by Provost Brown. As mentioned last month, the key is “achievements relative to opportunity.”
- The ad-hoc Climate Crisis group convened by Chair Horwitz is discussing whether to send a [Memorial](#) to the Regents regarding climate actions. The last Memorial – sent a couple of years ago – was about divestment from fossil fuels.
- Chair Horwitz asked UCORP to partner with UCAP on a response to the Regents’ Report on Innovation and Entrepreneurship.
- A joint Senate-Administrative working group is being convened to address a proposal to remove the systemwide Senate from the process for Masters’ degree program approval.
- Faculty salaries will increase as part of the normal merit review process. There is a three percent range for merit and three percent for equity adjustments.
- The CFO is proposing reducing the employer contribution to the pension fund by one percent and replacing it with a loan from STIP (a short-term investment pool). There is too much money in STIP, and the change

would supposedly free up more money for the campuses. Some in the Senate are concerned about future restoration of the employer contribution.

- The Senate has asked UC Legal about using automated take-down notice under DCMA to address the proliferation of content on websites like Chegg and Course Hero.
- UC is chairing the Intersegmental Committee of Academic Senates this year and there is a lot going on regarding transfer students. Assembly Bill 928, which was signed by the Governor, requires a single pathway from community colleges to CSU and UC. UC has previously emphasized major preparation, so this is a change.

## **V. Round Robin of Reports from the Campuses**

*UC Berkeley:* Research funding has increased at UC Berkeley, but not uniformly across disciplines. As expected, engineering and public health have seen more growth than other areas. The campus is looking for ways to equalize the funding. The COR is reviewing graduate student stipends and hoping to raise the minimum amount to NSF levels for both GSIs and GSRs. Working groups have convened to explore the longer impacts of pandemic, with focuses on remote work, reducing travel, graduate students, and collaborations with other countries.

*UC Davis:* The Davis COR is working on Academic Senate grants – including both travel and large grants – and ORU reviews. The local committee continues to strongly support messages from UC on animal research.

*UC Irvine:* The campus has a follow-up pre-proposal for a new school of public health. The funding is from a private donor and there are concerns about a focus on alternative medicine. UC Irvine has recently established a Latin American Studies Center. Upcoming for the committee will be ORU reviews, and some members are interested in how to best preserve the institutional memory of past reviews so that questions and concerns may be followed up in subsequent reviews.

*UCLA:* The COR received an update from the Vice Chancellor for Research on the campus Covid-19 situation. Only one positive test had been reported between the committee's meetings. The local committee is discussing post pandemic impacts, faculty grant awards (including travel), funding and publication restrictions, and the Racial and Social Justice (RSJ) Grants Program. UCLA is considering forming a new independent review committee in addition to the existing IRB.

*UC Merced:* The COR continues to field questions and concerns about the financial accounting software, and it continues to be a huge problem. UC Merced is working on the path to becoming an R1 institution (it is currently R2). Much of it is a matter of research funding, but it looks like it will happen in 2030, which is about half the usual time. The COR is reviewing the charge for a research safety committee and a policy about the formation of new research centers. There is a proposal for a new school: the Gallo School of Management. The Senate was provided with \$1 million of the funding from MacKenzie Scott and needs to decide how to allocate it at a rate of \$333,000 per year for the next three years. COR is partnering with the campus sustainability committee to add more money to the Senate research grants.

*UC Riverside:* It took a while for the COR to select a chair. Researchers are experiencing delays with IRB, even for simple reviews.

*UC San Diego:* The committee is looking into its ORU review process, including template, policy, and schedule of reviews for the year. A campus climate change resolution is under discussion.

*UCSF:* The local committee is discussing clinical activation, an effort to make clinical data more accessible for researchers. Other topics include increasing opportunities for students from underrepresented backgrounds (UCSF has already been quite successful at this), the usual problems with HR, and the impacts of efforts to

increase IT security after a breach at UCSF. Researchers feel that centralization – and also lack of staffing – has led to slower IT support response times.

*UC Santa Barbara:* The COR is focused on the upcoming Senate Faculty Research Grant call. One issue of concern is funding publication subventions of up to \$10-20,000 for book production costs. The committee is also talking about Covid-19 impact and opportunities.

*UC Santa Cruz:* The local committee continues to discuss the process for proving a minimum tier of funding that would be available for all faculty for things like computers, supplies, etc. The Chancellor supports it, but the committee needs to figure out how much it will cost and how to equitably divide the funding across departments. The proposal is that faculty will apply in the spring for funding that is distributed at the beginning of the fall quarter. The accrual period is no longer than two years to ease accountability, and faculty will need to fill out a short survey about how the money was used. The COR will also continue regular funding for faculty research grants. UCSC had problems with delays in the IRB process until a month ago when the interim VC-Research allowed the hiring of more staff. The increased FTE had an immediate impact on the efficiency and speed of IRB reviews.

## **VI. Systemwide Review Items**

- [Proposed Revisions to Presidential Policy on Sustainable Practices](#) - Comments due December 7, 2021  
UCORP will not comment.
- [Proposed Presidential Policy on Abusive Conduct and Bullying in the Workplace](#) - Comments due January 18, 2022  
UCORP will not comment.
- [Proposed Revisions to APM 759, Leaves of Absence/Other Leaves Without Pay](#) - Comments due January 18, 2022  
UCORP will continue to discuss the revisions.
- [Proposed Revisions to APM 025 and APM 671](#) (Conflict of Commitment and Outside Activities of Faculty Members) - Comments due January 18, 2022  
UCORP will continue to discuss the revisions. Meanwhile, there are questions about prior approval categories. One committee member would like clarification on whether faculty must get prior approval and file an annual report for Category I and II outside professional activities during summer months if not receiving University compensation.

## **VII. New Business, Next Steps**

Follow-up and potential follow-up items:

- Council on Research versus COVCR
- UCORP response to Regent's Report on Innovation Transfer and Entrepreneurship
- Administrative burden: UCFW is the lead on this issue.
- Merced researchers and research enterprise impacted by accounting system issues. Is there a way for UCORP to help? (UCFW is talking about this as well)

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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), Weixin Yao (Riverside), Jason Sexton (Merced), Stephanie Richards (San Diego), 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), Joanne Miller (Committee Analyst)