

UNIVERSITY COMMITTEE ON RESEARCH POLICY

Monday, December 13, 2021

10:00 a.m. – 2:30 p.m.

Meeting Minutes**I. Chair's Announcements, Approval of Meeting Minutes***Karen Bales, UCORP Chair*

- Chair's announcements and updates

Chair Karen Bales informed the committee that after two years of negotiations, an agreement was reached between UC administration and the Unit 18 Lecturers. Graduate student researchers have voted to form a union and are now working with the UC administration on criteria regarding which positions belong in the union. Academic Council Chair Robert Horwitz provided additional information when he joined the meeting (see below).

Chair Bales was asked by Council Chair Horwitz to respond to a draft report on UC's foreign influence audit, which has recommendations for reporting and disclosure. CCGA Chair Andrea Kasko also provided comments. The audit report will be disseminated soon.

Committee members briefly talked about the proposed Research Data Policy and whether they could come up with examples of questionable situations. The UC Davis COR has invited Research Policy Manager Agnes Balla to join its meeting in January.

UCSC rep Jarmila Pittermann volunteered to serve as UCORP liaison to the Senate's ANR Task Force in the winter quarter.

Action: Meeting minutes from November 8, 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*

Updates from Vice Provost Maldonado:

- A new Council on Research is still in the works, although it might be a reshaping of the current "Council of VC-Rs." The group includes members from ANR, deputy directors from the Labs, and personnel from UC Health, and the name does not really reflect the current membership. VP Maldonado said the in addition to the other proposed membership changes, she would consider the addition of a student member to the group.
- A working group was convened to examine the UC Humanities Research Center. The group was led by former UC Davis Provost/EVC Ralph Hexter and UCOP VP for Academic Personnel Susan Carlson. The report will be released soon.
- This Thursday, one of the speakers at the Regents Committee on Innovation will be from UC Santa Cruz, who will talk about non-STEM research.

MRPI (Multicampus Research Programs & Initiatives) is a funding competition that occurs every other year. Proposals must include three or more campuses, but can focus on any type of topic and comprise all scholarship and disciplines. In the past, the program has offered smaller 2-year awards of \$150,000 per year for new projects, as well as the larger, 4-year awards that offer more money and allow more time. The competition will be held next year (2022) and the funding available is approximately \$6.4-7.4m per year (a total of approximately \$18m). The program is extremely popular. In the past, 200 letters of intent have been received for 15-18 awards. There is no stated limit on the award amount, which avoids the problem of all

applicants from asking for the highest amount. With such low odds of success, the Research & Innovation staff are interested in potentially reducing the number of applicants by focusing or limiting the call for proposals through eligibility criteria or other means. They have asked for input from UCORP by mid-January, 2022, on whether there should be changes to the MRPI competition for next year.

UCORP members asked about increasing the number of awards. VP Maldonado has requested an additional \$2 million for the program.

In general, UCORP feels that limiting eligibility or developing themes are not desirable changes. It was noted that developing a proposal to compete for a multicampus collaborative award can be useful and rewarding in and of itself, just in having gone through the process. UCORP members thought that a more thorough and thoughtful process was needed in order to make changes to the program, and wondered if this cycle could wait until a proper review could be done by the newly revamped Council on Research.

In a brief discussion about MRUs, one UCORP member asked there had been any thought given to phasing out MRUs completely. It seems that some MRUs need that designation in order to receive funding through UCOP. UC Observatories is an MRU that actually receives money.

III. MRU Reviews

The two MRU Review Groups discussed the reports and developed questions for the MRU Directors. The Directors of The Dickens Project and IGCC will join the UCORP meeting in February.

For The Dickens Project, committee members had questions about diversity and outreach, how to broaden the center's impact, and Covid recovery questions. Members wanted further clarity about the current budget and fiscal projections, more information about internal interactions between units, and more on the multi-campus benefits. With its multicampus involvement and rotating conference, The Dickens Project seems very organized and an exemplary MRU.

For IGCC, members wondered if there were any objective criteria to assess the institute's impact. The report lists project funding, but it's hard to tell the role of IGCC. Committee members wanted to understand what made the institute an MRU, its systemwide impact, and the involvement of campuses other than UCSD.

IV. Academic Senate Leadership Update

Academic Council Chair Robert Horwitz updated the committee on the issues facing the Academic Senate.

Union negotiations: UCOP has concluded negotiations with the new Graduate Student bargaining unit. The agreement will make distinctions between types of graduate work, although the language has been left somewhat open. Some graduate students are more like employees, while others do their own research. UCOP's Academic Planning and Personnel unit is drafting toolkit for implementing the Unit 18 Lecturer contract and will do the same for graduate students.

Budget: The State is anticipating a big surplus and UC has asked for a 10% increase over last year plus more for seismic upgrades and carbon neutrality efforts.

Faculty salaries: Merit increases will be fully funded at 4% for on-scale. There is an additional 1.5% for equity gaps, which will be determined on the campuses.

Climate crisis: The ad-hoc systemwide Senate activist group met to consider a formal request to the Regents (a "faculty memorial") requesting that combustible fuel use on the campuses be reduced by a large percent. The memorial request will go to the Academic Council for approval, and then to the Assembly of the Academic Senate. Assuming it is approved, the memorial will then go to campuses for a full faculty vote. On the campuses, UCSD has a Senate climate committee and other campus Senates are considering one or at least working more closely with their campus sustainability group.

Ethic, Compliance, and Audit Services: Academic Council Chair Horwitz and Vice Chair Cochran have been in discussion with ECAS SVP Alex Bustamante about issues around compliance and are requesting help for

faculty and not just enforcement. The Senate leaders would like to see ECAS provide a mechanism for Health Science faculty to report from affiliated hospitals if anything is going wrong.

Mitigating Covid Impacts on Faculty: The Mitigating Covid Impacts on Faculty Working Group Preliminary Report has hit distribution snags. The report will soon be sent to Division Chairs to be distributed on all campuses to all faculty. President Drake will also take the message of the report to the Council of Chancellors. The faculty leadership wants to see campuses think in new ways about merit and promotion under Covid.

Report of the Regents' Working Group on Innovation Transfer and Entrepreneurship: The Regents Innovation Report recommends that UC "create a culture that values innovation and entrepreneurship and burnishes its reputation as a high-value partner in these endeavors" by revising promotion and tenure guidelines to give additional credit to faculty who work on innovation and entrepreneurial endeavors. A central question is whether this will generate additional alternative revenue for the University. Regents' Working Group on Innovation Transfer and Entrepreneurship is meeting on Thursday and Chair Horwitz and Vice Chair Cochran will give a presentation that includes a description of the promotion and tenure process.

UC Online (formerly ILTI): There is interest in potentially using UC Online course offerings to fulfill community college transfer pathways. UC Online has a new Advisory Committee that will have three Academic Senate members.

Master's Degree Program Review: After the Provost proposed removing the systemwide Academic Senate from the Master's degree program review process, UCOP is forming a working group that will have Senate representation.

V. UCORP Response to Report of the Regents Working Group on Innovation Transfer and Entrepreneurship

The Board of Regents would like to see innovation and entrepreneurship more highly valued at the university in order to recover "money left on the table." The idea is that explicitly including these activities in promotion and tenure guidelines would encourage faculty do more.

UCORP members wondered whether there was any evidence that the current system dampens innovative or entrepreneurial activity. They noted that there are other ways to incentivize innovation and translational research, including funding incentives and additional support for administrative processes. They were also interested in a cost/benefit analysis, recognizing that many entrepreneurial efforts fail, and wanted to know the extent of the "money left on the table."

Feedback on the Regents' proposal included:

1. Current review structures allow entrepreneurial activity to be counted toward promotion. If innovation transfer and entrepreneurship are to be explicitly added to the APM, it should not in the Research category.
2. Any change should first check the impact on diversity and academic freedom.
3. Thinking about whether there are limits to changing the APM to emphasize specific activities.

VI. Systemwide Review Items

- [Proposed Revisions to APM 759, Leaves of Absence/Other Leaves Without Pay](#) - Comments due January 18, 2021

Members commented on the listing order of reasons for leaves without pay and wondered if putting innovation and entrepreneurship first gave the appearance of priority.

Action: Chair Karen Bales will draft comments and circulate for UCORP approval before they're due.

- [Proposed Revisions to APM 025 and APM 671](#) (Conflict of Commitment and Outside Activities of Faculty Members) - Comments due January 18, 2021

UCORP will discuss this policy change further in January.

VII. Round Robin of Reports from the Campuses

Committee members discuss the issues facing their local Committee on Research and other research-related campus news.

Santa Cruz: The local committee met with the VC-R, who brought up additional course funding. Twenty new faculty research grants were reviewed. Campus issues have focused on the cost of living and housing in the local area.

Santa Barbara: The COR is focusing on modifications to the call for Senate grants to include better guidance. The report on Covid Impacts on Faculty was not widely distributed, so an additional push to disseminate it will be welcome. The local committee is wondering about the timeline for making changes, and whether damage has already been done. Making this report available for this year's review cycle will be good.

San Diego: Many UCSD faculty area also not aware of the Covid Impacts on Faculty report. COR is dealing with procedural concerns regarding membership. There was concern about the Regents expanding teaching assistant allocations. PDK complexity doesn't seem to be a big issue on the campus.

Merced: The Chancellor and Provost have responded to research infrastructure problems by increasing staffing to assist faculty. The UCM COR continues to monitor the situation and correspond with the administration. Faculty report that things are getting easier. The committee continues to work on a draft policy for the establishment of centers and, with the VC-R, is creating a Research Safety Committee. The call for Senate faculty grants went out. COR and CAPRA have been tasked with advising the divisional Senate regarding how to spend a million dollars in gift funding over the next three years.

UCLA: The last meeting was cancelled, but the COR will be addressing the idea of duplicating the IRB process and the redundancy that would result.

Irvine: COR participated in the review of two ORUs: The Institute for Transportation Studies (ITS) and the Institute for Mathematical Behavioral Sciences. The committee has been talking with OIT about the current state of data protection and tools for loss prevention. The committee has been discussing how to provide additional funding and potential changes to the way faculty research grants are distributed in order to fund more ambitious activities.

Davis: The committee is discussing changes to Senate grants. Meanwhile, travel grants will include virtual conference attendance, both for health and sustainable practice purposes. COR heard a presentation about animal research at the university and reviewed a five-year report of an ORU. UCOP Policy Manager Agnes Balla is invited to the January COR meeting to discuss Research Data Ownership policy.

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

Meeting participants:

Committee Members: Karen Bales (Chair), Tannishtha Reya (Vice Chair), 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), Lourdes DeMattos (Associate Director, Policy Analysis and Coordination), Joanne Miller (Committee Analyst)