

UNIVERSITY COMMITTEE ON RESEARCH POLICY

Monday, February 8, 2021

Meeting Minutes

I. Agenda Review, Chair's Announcements and Report from Academic Council, Approval of Meeting Minutes*Richard Desjardins, UCORP Chair*

Meeting minutes from Dec. 14, 2020 were approved.

Chair Desjardins reminded the committee that this year's focus is on cross-campus research entities and trying to work with the UCOP administration on principles and plans for using funds strategically. That may include finding more ways to integrate with UC's Division of Agriculture and Natural Resources (ANR).

At last week's Academic Council meeting, members offered suggestions for revisions to UCORP's letter on Animal Research. UCORP Vice Chair Karen Bales will work with the UCAF Chair on a revised draft.

ACTIONS:

- Analyst Joanne Miller will follow up with those campuses that have not responded to the research grant survey.
- Analyst Miller will obtain the final reports of the Portfolio Review Group (2012-2013)

II. Reports from Liaisons to Other Committees & Task Forces

- ACSCOLI – Academic Council Special Committee on Laboratory Issues (Javad Lavaei)

At the January ACSCOLI meeting, the committee discussed the proposed themes for this year's Lab Fee Research Program (LFRP) competition and provided feedback. ACSCOLI members felt that faculty were perhaps included too late in the process and asked for more transparency and faculty involvement from the start. ACSCOLI briefly learned about a memo from UCORP Vice Chair Karen Bales regarding involvement of the Division of Agriculture and Natural Resource (ANR) in the Lab Fees grant competitions. This idea may come to UCORP to facilitate.

- RIMS Working Group (Michele Guindani)

A letter was sent in January to EVC/Provosts in January to collect information regarding the Research Information Management systems (RIMS) in use and the person responsible. Responses are due Feb. 19.

- ANR Task Force (Karen Bales)

The Academic Senate's ANR (Agriculture and Natural Resources) Task Force is developing an idea for a seed grant program that could potentially be funded jointly by UCOP, ANR, the National Labs, and possibly the campuses. The next step is to bring a proposal to the Office of Research & Innovation, with the intention of then going to the Vice Chancellors.

III. 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**Janna Tom, Interim Co-Executive Director, RPAC**Lourdes DeMattos, Interim Co-Executive Director, RPAC**Emily Rader, Research Portfolio Manager*

- Updates from the Vice President for Research & Innovation
 - *Research Security Symposium*

On January 26, UC held a research security symposium that was jointly sponsored by the FBI. The main topic was "foreign influence" and cybersecurity. Participants included hundreds of people from within UC and from

other institutions. The symposium was seen as successfully strengthening relationships and placing UC in a leadership role.

- *Multicampus Research Entities: Strategies, principles and accountability*

After talking with UCORP about multicampus research entities, VP Maldonado consulted with the Academic Senate leadership and others regarding their thoughts on the oversight role of the Academic Senate for various types of cross-campus research efforts at UC. The “Compendium,” last revised in 2014, is the source for reviews of academic programs, academic units, and research units. In starting her job at UCOP, VP Maldonado is familiarizing herself with the fundamentals of the Compendium, and the funding and governance for MRUs, Cal-ISIs, and others. UCOP’s Office of Institutional Research and Academic Planning (IRAP) – the unit that publishes the annual Accountability Report and manages UC’s data – is the group within UC that maintains the Compendium.

Emily Rader from R&I has been assigned to review all policies and guidelines, including the APM, that touch on multi-campus research. Once that background is gathered, the R&I staff can work on updating and aligning policies, as well as developing guiding principles. UCORP would be involved in that, but may want to draft its own version of guiding principles for multi-campus research units. UCORP would also be involved in monitoring and compliance, including how to enforce compliance. All of the MRUs and many of the other research entities are faculty-led.

UCORP Chair Richard Desjardins talked about the need to make sure there is a process in place to review the use of any discretionary funds. Obviously, some MRUs that are reviewed by the Academic Senate cannot be discontinued. The UC Observatories is one example. UCORP is interested in how best to leverage funds strategically, possibly to get external funding. MRU is just a title, and MRU versus non-MRU has little meaning, although apparently the designation is helpful in some fields for securing major external funding. The seven remaining designated MRUs are all very different entities; the same review process is probably not needed for all. As of now, the Academic Senate has little formal role in the oversight of non-MRUs, centers and initiatives that receive federal money or funding from other sources.

Vice President Maldonado noted that discretionary funds at UCOP’s Office of Research & Innovation are almost non-existent, but the MRPI and LFRP competitions do have some flexibility. The MRPI award competition emerged from the older MRU funding structure in order to enable new groups doing emerging research to have access to funds. As a new campus, Merced was often left out of pre-dedicated funding opportunities. UC took the previously earmarked funds and started the MRPI to foster new collaborations. After some adjustments, the program settled on splitting the funds between smaller, 2-year planning grants and larger, 4-year program awards. UCORP members were interested in whether there could be a way to use the existing MRPI structure to foster strategic research, potentially with integration of ANR, and potentially focused on climate. UCOP is open to faculty input for the MRPI competition, but also noted that when topical calls have been proposed in the past, the overall Academic Senate response has been a desire to maintain an open call.

- Updates from the Office of Research Policy Analysis and Coordination (RPAC)

- *New RPAC Executive Director*

Deborah Motton from UC Merced was recently hired to be the Executive Director for the Office of Research Policy Analysis and Coordination (RPAC). Dr. Motton briefly joined the meeting to greet UCORP members. She will be starting in April.

- *Animal Research Transparency Work Group*

The UC Animal Research Transparency Work Group met on February 5th. The group discussed potential legislation and impediments, awareness campaigns, involvement of faculty, and whether official Presidential involvement was needed. The Federal Government Relations team discouraged asking for a PRA exemption, and noted that animal rights lobbyists have a great deal of power, and are able to put a lot of pressure on state legislatures. There was discussion of what would be done systemwide versus what would be done on

campuses. The group will need resources to engage the UCOP communications team, but will first develop a strategy. The group is seeking to involve a graduate and undergraduate student to be sure to understand the younger/student perspective.

- Updates from UC Research Grants Program Office
 - *Cancer Research Coordinating Committee (CRCC) update on status of proposed funding*

The CRCC is a longstanding fund composed of endowments and tax proceeds that provides seed grants to cancer researchers. Last year, UCORP looked into whether there was a way to use at least some of the CRCC's funding for cross-UC cancer research collaboration. While not originally envisioned as a partnership limited to cancer centers, the UC cancer centers are now offering partnerships with matching funds. This is still in-progress and CRCC faculty leaders are meeting with UC cancer centers to talk about options. The downside of the cancer center collaboration is that it rules out agreements between two campuses that do not have cancer centers (e.g., Berkeley and Santa Cruz).

IV. Efforts Around Protection of Animal Researchers - update

UCORP's letter of support for animal research was discussed at the latest Academic Council meeting. Council members offered suggestions for changes, including adding wording about UC's commitment to animal welfare and dedication to abiding by regulations. Members of the University Committee on Academic Freedom (UCAF) are now involved and will provide specific edits. A draft of the letter will be circulated again to UCORP once changes are made.

V. Systemwide Review Items

- [Proposed Revisions to Presidential Policy on IT Recovery](#) - Comments due February 17, 2021

UC Irvine's COR had quite a few critiques of the policy, including the section on roles and responsibility. They felt the policy was unclear about remedies for cyberattacks and lacked a unified framework regarding IT recovery systemwide. UCI members wanted to know the overlap with other initiatives at the systemwide level, and whether faculty had input into the policy.

UC Santa Barbara's committee also had issues with the policy, including the need to identify recovery and security leads, and penalties for not following policy. The policy does not include information about how to determine the cost of violations.

ACTION: UCORP will draft a letter in response to the policy.

- Innovative Learning Technology Initiative (ILTI) Review with Update - Comments due February 17, 2021

UCORP's comments on the ILTI Review were similar those on the Report of the Online Undergraduate Degree Task Force. Questions included whether the online courses should involve a research component and issues around campuses potentially competing for students with their online offerings. UC Irvine's COR noted that the ILTI courses have a high incompleteness rate, and that ILTI seems to operate as a separate entity from UC. The UC Davis COR also expressed negativity about ILTI and online courses.

ACTION: UCORP will comment on the ILTI review.

- Academic Planning Council Faculty Salary Scales Task Force Report and Recommendations - Comments due February 17, 2021

UCORP members felt that off-scale salaries are a useful tool for recruitment and retention, and that retention efforts would be affected if there's no way to compete in terms of salary. Members also expressed concern about taking power away from faculty committees (CAPs).

ACTION: UCORP will respond to the report.

- Presidential Policy on UC Research Data and Tangible Research Materials - Comments due March 23, 2021

The drafters of this policy consulted UCORP last year. UCORP members felt that there are still issues around definitions for data and tangible research materials. For example, in animal research, animal rights organizations are using policies against researchers. Relying on established disciplinary practices leaves some things out, and norms can vary.

ACTION: UCORP will invite Agnes Balla from UCOP to the next meeting to discuss the policy.

VI. Campus Reports Round Robin

UC Berkeley: After a Covid-19 outbreak, students currently living in the dorms are required to isolate themselves for two weeks. Berkeley is planning for in-person courses in the fall, after vaccinations are more widespread. It appears that there will be no reductions in faculty salaries. Most discussions in the local COR are around pandemic-related planning.

UC Davis: UC Davis has released its call for research grants. Small grants of \$2,000 and larger grants of up to \$25,000. Last year, 177 small grants and 24 large grants (out of 87 applications) were funded. There are discussions around research activity ramp-up, which is currently at 50% capacity. Medical center personnel are 80% vaccinated. UC Davis is vaccinating members of the Davis community and offering testing. Davis is planning for fully in-person courses in the fall. UC Davis fully supports the rights of animal researchers.

UC Irvine: The COR reviewed the policies under review, but otherwise the agenda is all Covid. The Irvine campus is planning to be fully in-person in the fall. UCI has started vaccinating all those age 65+ on campus, and are about to move into phase 1b, in coordination with Orange County officials.

UCLA: There have been a few positive Covid cases among researchers. UCLA has managed a speedy rollout of vaccines among the health sciences personnel. The COR is discussing how to effectively onboard new faculty remotely. There is a post-pandemic working group that is looking at what changes need to be made moving forward. Library services at UCLA are working fairly well. The campus is engaged in a long-range planning effort. Regarding faculty research grants, UCLA officially takes back unused research grant funds, but waivers may be available.

UC Merced: The COR is reviewing Senate grants. There's a conflict between campus finance and the Provost regarding whether awardees can keep their unspent grant funds. Merced is making decisions about equipment for its BSL-3 lab. Other funding (around \$200,000) is available for new equipment and COR is involved in determining how it can benefit the most faculty. There is a call out now for conceptualization grants intended to incentivize the writing of center grants.

UC San Diego: All health sciences folks have been vaccinated, as well as some researchers. The exact priorities are now unclear, but a vaccination station on campus for patients as well as employees will be vaccinating at a 2:1 ratio.

UC San Francisco: UCSF provided grants for faculty whose research was impacted by the pandemic. There were a few at \$25,000 and many more at \$5,000. These grants can be used to help with caregiving or lab assistance. UCSF finished phase 1a, which was about 30,000, and is now focusing on patients over age 75 and researchers who need to be on campus, at a ratio of 2:1 for patients. The big news is that renovation plans for the Parnassus campus were approved. A hiring freeze continues, but waivers are available. There are issues with visas for international post-docs - and others - that are affecting the research enterprise.

UC Santa Barbara: Covid cases in Isla Vista, where many student live, are high. Tests are being provided. Studies of UCSB buildings have found unhealthful air in some locations. Undergraduates are allowed to come to labs at up to 1/3 capacity. Senate grants have some overrun from last year. The COR doesn't know what this year's allocation will be, but there will likely be a 10-20% reduction. Other budget mitigations will happen in 2021-22. The library is as open as it can be; not for internal resources, but the plan is open soon for general studies and access to materials. There are cameras in public places to ensure people are following protocols.

UC Santa Cruz: The campus has started offering vaccinations and is doing testing, but everything is remote through the summer. Some labs are open, while other spaces – such as performance spaces and the library – remain closed. The administration is being cautious about reopening plans for the fall. Faculty research grants

are being offered, and faculty have been able keep their grants from last year. The situation with the library at UC Santa Cruz is a huge issue on the campus, impacting research across a wide swath of disciplines, and faculty in the arts are very unhappy.

VII. Academic Senate Leadership Update

Mary Gauvain, Academic Council Chair

Robert Horwitz, Academic Council Vice Chair

- The Regents are discussing next steps now that the SAT/ACT is not being used for freshman admission. The President's Feasibility Work Group Report said it would not be possible for UC to design a new test.
- Chair Gauvain and Vice Chair Horwitz participate in a systemwide vaccine rollout group that is discussing plans for campuses to open for in-person instruction in the fall. Campus plans are tied to their respective counties.
- The Governor's Budget provides less for UC than what was hoped for. There are concerns around line items in the budget that appear as incursions into UC's constitutional autonomy. The idea is that UC should be setting research priorities, not government. This also applies to recent government influence around transfer admissions.
- UC is in the midst of a two-part "Campus Safety Symposium" related to policing on campus. The first day of sessions was last week, with a follow-up next month. Campuses will present what they are doing and what they are planning.
- UC's affiliation with Catholic and other health entities (sometimes referred to as "comprehensive access") will again be on the Regents' agenda in the spring.

Chair Gauvain and Vice Chair Horwitz have been talking to VP Maldonado about MRU/MRPI issues, including ideas around making more strategic use of "discretionary funds." There is agreement that the notion of "MRU" is out of date, and interest in reframing the existing structure based on input from faculty on the optimal use of research funds. VP Maldonado is very interested in having these discussions and is open to new ideas. The question is what to do next. Chair Gauvain and Vice Chair Horwitz are open to UCORP's input and ideas for using funds more strategically, along with guiding principles.

Meeting minutes drafted by: Joanne Miller, UCORP Analyst

Attest: Richard Desjardins, UCORP Chair

Meeting participants:

Committee Members: Richard Desjardins (Chair), Karen Bales (Vice Chair) Javad Lavaei (Berkeley), Cynthia Schumann (Davis), Michele Guindani (Irvine), Marco Iacoboni (Los Angeles), Kara McCloskey (Merced), Tannishtha Reya (San Diego), Forrest Brewer (Santa Barbara), Paul Roth (Santa Cruz), Katie Uhl (Graduate Student, UC Davis), Daniel Halpern-DeVries (Undergraduate Student, UC Santa Cruz), Mary Gauvain (Academic Council Chair), Robert Horwitz (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), Janna Tom (Interim Co-Executive Director, Research Policy Analysis and Coordination), Lourdes DeMattos (Interim Co-Executive Director, Policy Analysis and Coordination), Emily Rader (Research Portfolio Manager), Joanne Miller (Committee Analyst)