UNIVERSITY COMMITTEE ON RESEARCH POLICY
Monday, March 11, 2019

Meeting Minutes

1. Chair's announcements, approval of minutes
Andrew Baird, UCORP Chair

Meeting minutes from February 11, 2019, were approved.

Restrictions on fetal tissue research: UCORP's letter regarding restrictions on fetal tissue research and the politicization of science was accepted by Academic Council and sent to President Napolitano. (See the Academic Senate website.)

Composite Benefit Rates: Other systemwide Senate committees have expressed concerns about the implementation of the Composite Benefit Rates. UCORP chair Andrew Baird will discuss with the chairs of UCFW and UCPB whether a joint letter or separate letters from individual committees – that could convey the specific concerns of that committee – would be more effective.

Drones: The UC administrators of the UC Policy on Unmanned Aircraft Systems (Drones) will be invited to an upcoming UCORP meeting as part of UCORP's follow up on the implementation of the new policy (https://policy.ucop.edu/doc/3500671/Drone)

- MRU Reviews – Finalize Review Reports

UCHRI: UCPB member Jessica Trounstine joined the meeting via videoconference to contribute UCPB's opinion regarding the UCHRI review. UCPB would like UCHRI to provide more transparency in budget reporting, including the source and targets of funds, and criteria for allocation. UCPB thinks this will help to provide justification for continued MRU status and dispel concerns regarding any advantages UCHRI holds in competing for MRPI funds.

In addition to increased transparency about funding, members suggested that UCHRI open funding opportunities to non-ladder-rank faculty to expand the potential scope of recipients, and address diversity in future reports. This would also help potential applicants.

Action: Vice Chair Rahimieh will prepare a revised recommendations page to be circulated with UCPB and CCGA, as well as UCORP members, and then finalized.

INPAC: The INPAC review report was approved.

MRUs: Committee members broadened the discussion to whether UCORP should evaluate and make recommendations about what it means to be an MRU. There are multiple questions that might be addressed, including.

1. Value of the MRU designation
2. Requirements for MRU status
3. Whether funding should be attached to the MRU designation

At the last UCORP meeting, UCOP administrators asked for advice regarding review of systemwide institutes (Cal-ISIs). Members noted that UCORP can still make recommendations about oversight and

governance, even if Academic Senate review is not desired. Members briefly discussed how an academic systemwide review could be made less onerous.

The chart of MRUs prepared by ORGS provides a basis for understanding the many multicampus systemwide research activities. It seems possibly problematic that entities that do not receive any central funding are being reviewed, while others – that are not called MRU – do not undergo academic reviews. UCORP will ask for estimated UC funding (in any form), budget, purpose, and a metric that would be indicative of the size or influence of the unit.

2. New & Campus Business
- Campus Faculty Research Support

UCSC member Jarmila Pittermann described some pressing concerns of the UCSC COR. UC Santa Cruz provides no funding for faculty computer replacement, and there is no campus-wide schedule or recommendations for faculty equipment. The local committee is gathering information about how other campuses support IT infrastructure needs. The local COR is also looking into faculty research support and wants to send recommendations to the division. Technology support is done differently at each campus. At some locations, funding is given to each school to make its own determination based on competing needs. Committee members were interested in having an established baseline of IT support for all faculty members.

- Introduction to a potential California ballot initiative

UC Berkeley member Irina Conboy provided an introduction to a potential California ballot initiative for "Healthy Aging" that would provide funding via a bond issue for aging-related research. The funding would be modeled on California's billion dollar stem cell initiative. No new agency is planned, but there is a notion of involving UC as the administrator. Conboy will send a draft of the proposal to UCORP for feedback.

- Facilities and Administration (F&A) Rate Concerns

UC Davis member Karen Bales said that Davis is renegotiating its F&A rates (facilities and administration) and researchers are concerned about the impact of increases on current grants (that are caught in the transition). UCORP members discussed the larger picture of other indirect charges and "taxes" levied on grant funding.

Action: Committee members are asked to find as many examples as possible of charges applied to grant funding and to bring ideas to the next meeting. After evaluating the results, UCORP may want to send recommendations to the Academic Council.

3. Academic Senate Leadership Update
Robert May, Academic Council Chair
Kum-Kum Bhavnani, Academic Council Vice Chair

Elsevier update: UC's negotiations with Elsevier were suspended in late February. Access to Elsevier content has not been cut off yet, but that could happen at any time. There seems to be a general feeling of support from the press and others outside of UC. Chair May is encouraging colleagues to spread the word that there are contingency plans in place for making Elsevier content available on a case-by-case basis. Faculty should ask their local librarian. Some faculty are calling for a boycott, but there is no plan right

now; authors are asked to give some thought to where they're publishing. UCORP members discussed the notion of prestige and how academic work is evaluated.

Other publisher contracts are coming up, and while they might not be as large as Elsevier, the same guiding principles will apply.

Academic freedom for non-faculty academic appointees. Chair May and Chancellor Blumenthal are leading a task force to come up with an equivalent of academic freedom for librarians and other non-faculty academic appointees. The result will be a new section of the APM. APM 010, which is based on statements from AAUP, defines academic freedom for UC faculty. Professor Robert Post, who wrote APM 010 for UC and is now a professor at Yale, is a consultant to the task force. The policy is expected to be ready for systemwide review in about a month.

Standardized Testing Task Force of the Academic Council. Convened by Robert May and chaired by former BOARS Chair Henry Sanchez, the Standardized Testing Task Force is charged by President Napolitano to review the role of standardized testing in undergraduate admissions and to make recommendations. The 18-member task force will focus on undergraduate testing only, although the group is also trying to get a sense of graduate admissions.

International agreements and international students – letters from President Napolitano. At the last Academic Council meeting, members expressed concern about the letters (not the tiger team reports) and the impact they would have (and were already having). Some said the letters felt discriminatory and were dismayed at the tone and targeting of one country. Many faculty – especially in the humanities – are not aware of the extent of intellectual property theft and espionage. UCORP's Vice Chair Nasrin Rahimieh, who was on the tiger team that discussed international students, said that the discussions were more broad than the letter conveys. Both teams wanted to emphasize increased awareness of existing policy.

Incarcerated students. Chair May has asked some systemwide committees to examine whether UC should have a policy regarding incarcerated students and, more broadly, any students who are unable to physically be on campus for other reasons.

4. **Consultation with the Office of the President – Agriculture and Natural Resources**

Glenda Humiston, UC Vice President for Agriculture and Natural Resources (ANR) joined UCORP to give an update on the new Governing Council and the work of the ANR, including Elevate Rural California and Fire Solutions Workgroups. UCORP was also interested in finding out how to increase collaborations between UCCE (UC Cooperative Extension) and the UC faculty.

In the wake of the California State Audit of UCOP and the subsequent Huron Report, an advisory committee convened to make governance recommendations to President Napolitano regarding ANR, including how ANR should be funded and whether it should remain as part of the Office of the President. Other decisions were determined to be the purview of a new Governing Council.[1]

VP Humiston described the composition of the new Governing Council, which includes the systemwide Provost and CFO as ex officio members, two deans from AES campuses, the chair and vice chair of the Presidents' Advisory Commission on ANR (which is appointed by the President), personnel from the State, a representative from the Council of Vice Chancellors for Research, and three Academic Senate members. Members will serve three-year terms. Its charge is to review the work of ANR and make recommendations

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[1] https://ucanr.edu/blogs/blogcore/postdetail.cfm?postnum=28975

regarding priorities and funding. It should also facilitate cross-campus collaboration. Humiston noted that ANR recently hired someone from UC Merced to help build relationships.

In addition to the Governing Council, ANR has a President's Advisory Council, Deans' Council, Vice Presidents' Council, and a Program Council. ANR gets a lot of input from external stakeholders, and at this point there may be too many councils. Humiston was pleased to report that one of the ANR Associate VPs now serves on the Council of Vice Chancellors of Research.

Humiston will be presenting to the Board of Regents next week about ANR's budget and programs. ANR's budget has been separated from the Office of the President's budget. In the past, half of the funding passed through OP. ANR has programs at all campuses, and is involved in collaborative and public service initiatives such as CITRIS and QB3. Two programs that Humiston highlighted were Elevate Rural California[2] and the nascent Advanced Wood Products Innovation Institute.

Elevate Rural California, an initiative led by Humiston, focuses on providing economic opportunity to rural California, including bringing clean drinking water and broadband internet access, growing jobs related to agriculture, and advanced forestry techniques. ANR has partnered with Cal Poly Pomona and others around the state to develop a roadmap.

ANR has partnered with the California Board of Forestry, UC campuses, and CSU to form the Advanced Wood Products Innovation Institute,. The governor recently funded the effort, which will entail governmental mandates to buy the resulting wood products.

UCORP members were interested in how UC researchers find out about ANR opportunities, and how collaborations can be formed. Humiston noted that the new Governing Council should help with that, and ANR's relationship with UCORP is another means of communication. ANR has stronger connections at some campuses, such as Berkeley, Davis and Riverside. Many competitive grants programs are starting to require CE or public engagement component, so researchers will be compelled to reach out.

Humiston acknowledged that getting the word out about all of ANR's work is a challenge. She mentioned some UC researchers who are working with ANR and collaborating widely. UCM's Roger Bales works on climate and water resources while UCSB's Max Maritz works on fire resiliency. ANR hosts program teams in many areas: https://ucanr.edu/sites/anrstaff/Divisionwide_Programs/Workgroups/Workgroup_Directory/.

UCORP members suggested that the person who was just hired to work on collaboration be invited to an upcoming UCORP meeting.

5. 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
Emily Rader, ORGS Portfolio/Strategies Manager
Lourdes DeMattos, Associate Director, RPAC

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[2] http://www.caeconomy.org/content/landing-page/elevate-rural-ca

1. Valley Fever Research Funding (https://www.ucop.edu/research-initiatives/programs/initiatives-spfunds/vf-research.html)
   Six proposals were received, representing eight campuses. An announcement about the funding results will be made in May. The Office of Research is working with UC's state and federal government relations team to find out whether additional funding might be forthcoming, since $3million won't go far.

2. LFRP (Lab Fees Research Program) - Call for applications and applicant workshops
   The LFRP call for proposals will come out in April. Workshops on the three thematic areas will be held in April and May. Two will be on campuses and one at LLNL's Hertz Hall. The thematic areas are:
   1. Accelerator research: New technologies for next-generation accelerators (includes accelerator physics, materials, engineering, modeling, machine learning, and applications for medicine)
   2. Quantum information science
   3. Wildfire-related research: Causes, impacts, prevention, and management of wildfires (risk management; policy; development of fire-resistant materials; etc.)

3. Tobacco funding
   A Board of Regents policy on tobacco-industry funding[3] requires that proposals go through special review at the campus level. A list of tobacco-related companies will be updated. The policy does not mean that UC can't accept funding, just that it has to be reviewed. Cannabis funders will be on a separate list.

4. NAGPRA (Native American Graves Protection and Repatriation Act) update
   The Native American Advisory Committee has had its first meeting. As previously discussed with UCORP, a Working Group will be revising UC's current policy to better align with the desires of the Native American community. Four Academic Senate members have been appointed to the Working Group.

5. President Napolitano Letters (Feb. 7 and Feb. 13) and Recommendations on International Agreements and International Students
   VP Art Ellis was interested in how the President's letters were being received on the campuses. At Berkeley, some funding from a Chinese region was discontinued. Right now, the emphasis from the administration is on proper vetting and reporting. As noted in the President's second letter, responses will be left up to the campuses, which are encouraged increase communication between relevant departments (e.g., conflict of commitment, conflict of interest). Export control officers have been consulting with each other. It was noted that the federal government can change the rules at any time – for example, the GSA recently put Huawei on the restricted list.

   The UC OATS Outside Activity Tracking System – that was developed as a multi-campus collaborative system to facilitate tracking and compliance and educate faculty on issues related to Conflict of Commitment policies (APM 025, APM 240, APM 246 and APM 671) – may be able to help with accountability in this context, although some details are still being worked out.

   UCORP members wanted to know what help the university is providing to ensure faculty don't, for example, unknowingly purchase restricted technology. Procurement offices should be aware of restrictions.

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[3] https://regents.universityofcalifornia.edu/governance/policies/2309.html

6. Potential legislation on Sexual Harassment & Research Funding
   There are two new proposed bills in Congress regarding funding for research into sexual harassment and requirements for sexual harassment reporting. The first, sponsored by Senator Kamala Harris, is about research to better understand sexual harassment in STEM fields, while the other, sponsored by Representative Jackie Speier, proposes uniform reporting policies for all federal agencies. UCOP's Office of Legislative Analysis and Federal Government Relations are working to provide UC's input.

   In other misconduct news (and related to the research reproducibility that UCORP looked into at the beginning of the year) there is a new NIH rule for reporting of research misconduct. All reports must be made directly to the NIH Office of Scientific Integrity.

7. Data ownership
   There are new Chinese laws about data that might affect the research community. One law gives the government sovereign rights to all data and allows the Chinese government to determine how data is used. Another law, which has already affected UCLA, restricts the use of human genetic resources from Chinese citizens. Permission must be granted for each individual project.

8. MRU Chart
   Per UCORP's request, Portfolio Manager Emily Rader added columns to the ORGS chart showing system-wide and multi-campus entities to indicate Academic Senate involvement and MRU status. Members asked how designated "Institutes" are governed, including involvement of the Academic Senate. They would like to see funding or budget information for the entities on the chart that could be used to give a sense of scale.

Meeting adjourned: 3:35pm
Meeting minutes drafted by: Joanne Miller
Attest: Andrew Baird, UCORP Chair

Members attending in person: Andrew Baird (Chair, SD), Nasrin Rahimieh (Vice Chair, I), Irina Conboy (B), Karen Bales (D), Jeffrey Barrett (I), Julian Martinez (LA, sub), KK Ramakrishnan (R), Brian Eliceiri (SD) Stuart Gansky (SF), Jarmila Pittermann (SC), Robert May, (Academic Council Chair), Kum-Kum Bhavnani (Academic Senate Vice Chair), Tejasvinee Mody (Graduate Student Representative, UCR)

Members participating remotely: Michael Scheibner (M), Harry Nelson (SB)

Consultants, guests, and staff: Glenda Humiston (UCOP), Arthur Ellis (UCOP), Bart Aoki (UCOP), Kathleen Erwin (UCOP), Emily Rader (UCOP), Lourdes DeMattos (UCOP), Jessica Trounstine (new UCPB liaison for the UCHRI Review, via video) , Joanne Miller (Committee Analyst)