

**UNIVERSITY COMMITTEE ON RESEARCH POLICY**  
**Videoconference Meeting**  
**March 9, 2020**

**Meeting Minutes****1. Chair's announcements, approval of minutes**

*Andrew Baird, UCORP Chair*

Meeting minutes from February 10, 2020, were approved.

UC has hired Dr. Theresa Maldonado from the University of Texas - El Paso to serve as the new Vice President for Research & Innovation. She will start on Tuesday. Chair Baird was on the search committee and praised Dr. Maldonado's qualifications and background. As a faculty member, researcher, and administrator at UT, she understands the research enterprise and UC's federated model. One of her first priorities will be to work with the legislature on research funding. Dr. Maldonado will be invited to an upcoming UCORP meeting.

The universitywide Committee on Faculty Welfare (UCFW) has been talking about the growing administrative burdens on faculty, including researchers, and has asked for a UCORP representative to participate in the ongoing discussions. UCORP, UCFW, and possibly other systemwide committees may coordinate efforts to address the problem.

**2. UC Global Climate Leadership Council Applied Research Work Group (ARWG)**

*Ken Janda, Professor Emeritus and Previous Dean of Physical Sciences, UCI*

*Matthew St.Clair, UCOP Director of Sustainability, Energy & Sustainability*

*Lifang Chiang, UCOP Research Strategy and Portfolio Manager*

The committee learned about the UC Global Climate Leadership Council's Applied Research Working Group (ARWG) from Ken Janda, who co-chairs the group with UCI Vice Chancellor for Research, Pradmod Khargonekar. Janda, a Professor of Chemistry Emeritus and former Dean of Physical Sciences at UCI, described the work to date of the Working Group and asked UCORP members for input on potential strategies for broadening faculty engagement. For the past few years, UCORP has been engaging with climate change experts and discussing how to increase faculty involvement and lines of communication within UC, and earlier this year sent recommendations to the Academic Council that were forwarded to President Napolitano.<sup>1</sup> The Academic Council has formed an Interim Working Group to develop the charge and membership for an Academic Senate Climate Change Task Force. UCORP Vice Chair Richard Desjardins was appointed for that group.

UCOP convened the Global Climate Leadership Council in 2014 with members from every campus and the labs to advise UC on achieving carbon neutrality by 2025 as part of the Carbon Neutrality Initiative. The Applied Research Working Group is a subcommittee ("pillar") that determines research projects to fund using an NSF-style approach of proposals and peer review. In 2018, UC expanded its efforts and joined other institutions in the state to form the California Collaborative for Climate Change Solutions ("C4S") to develop a vision and provide seed grants to promising projects.

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<sup>1</sup> [https://senate.universityofcalifornia.edu/\\_files/reports/kkb-jn-climate-change-principles.pdf](https://senate.universityofcalifornia.edu/_files/reports/kkb-jn-climate-change-principles.pdf)

C4S is now providing \$5 million in grants. The “Bending the Curve” report and course were funded with C4S funds.

The ARWG has focused on funding in four areas: Deep Energy Efficiency; Transitions to Renewable Energy; Policy, Economics and Behavioral Dimensions; and Carbon Capture and Sequestration (removing CO<sub>2</sub> from the atmosphere). Examples of funded projects include research for Replacing Natural Gas (in partnership with the TomKat Foundation), development of natural gas fuel quality sensors, and research into the ability of concrete to absorb CO<sub>2</sub>. More recently, the Working Group has been having discussions around communication strategy. UCORP’s suggestions for communication and prioritization are welcome.

Ideas for UCORP involvement include helping to spread the word about the work of the ARWG, disseminating publications, and providing input about where \$100,000 - 200,000 grants may have the biggest impact. ARWG focuses on UC research and programs, but is also willing to support efforts outside of California. For guidance, the group relies on a report from UCLA professor Ann Carlson (who serves on the ARWG), “Overcoming Barriers to Carbon Neutrality,”<sup>2</sup> that illustrates steps that UC must take to become carbon neutral. UCORP is also invited to propose new members for the Working Group.

UCORP members asked about priorities and what might be done with a huge sum like \$10 billion, and whether the establishment of a new multi-campus research unit would be useful. The Global Climate Leadership Council is having an “idea summit” on June 1<sup>st</sup> that will include the new Vice President for Research and Innovation. Communication and coordination seem to be the biggest problems within UC. Climate change needs to be introduced into the “ethos” of the university at all levels, like diversity. Currently, each Chancellor must provide a status report on climate efforts on their campus when meeting with the President, but more needs to be done.

UCORP members discussed identifying specific ideas to vet with local CORs and then propose to the Academic Senate. Professor Janda recommended picking some of the recommendations from Ann Carlson’s report. Ideas include extending required climate status reports to every campus and departmental leader, implementing an internal price on carbon, making carbon tax part of every department’s budget, and including a carbon metric for every new building plan. There are plenty of recommendations to choose from, so no need to start from scratch. UCORP members also suggested tying in single-use plastic to UC’s carbon footprint and planning efforts, and involving UC’s Division of Agriculture and Natural Resources, which has a presence in every county in the State.

UCOP’s Director of Sustainability, Energy & Sustainability Matt St.Clair noted that Merced has an alternative energy power plant that is often curtailed by the system operator due to grid overload. Every campus has solar panels, and uses other alternative energy sources as well. Buying from the grid is often cheaper than using self-generated power. St.Clair said that UC has already saved \$240 million on energy, a savings that is returned to the general budget.

A primary takeaway from the discussion was the need for behavioral and attitude changes at all levels of the university. The next UC President will be key in leading UC’s efforts and embracing carbon neutrality as part of UC’s mission.

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<sup>2</sup> [https://www.ucop.edu/carbon-neutrality-initiative/\\_files/overcoming-barriers-to-carbon-neutrality.pdf](https://www.ucop.edu/carbon-neutrality-initiative/_files/overcoming-barriers-to-carbon-neutrality.pdf)

Later in the meeting, UCORP members discussed further ideas for creating a new MRU or other multi-campus entity, potentially with a framework similar to UCHRI. The arrival at UCOP of a new Vice President for Research and Innovation provides an opportunity to propose new ventures. UCORP members suggested a call for proposals for a UC climate institute that could be the locus of UC faculty communication, multidisciplinary research, teaching, and more.

**Action:** Chair Andrew Baird and UCSC member Paul Roth will draft a document or statement outlining the reasons UC should have a systemwide climate institute. The draft will be sent around to committee members for review and comment.

### **3. Academic Senate Leadership Update**

*Kum-Kum Bhavnani, Academic Council Chair*

Academic Council Chair Kum-Kum Bhavnani joined the meeting to provide an update on issues facing the Senate:

- The Board of Regent’s discussion of pension increases has been rescheduled.
- Graduate students continue to be on a “wildcat” strike at UC Santa Cruz, and the “COLA for all” movement has spread to other campuses as well. The Academic Council issued a statement that suggested both sides work together via the collective bargaining process.
- Each campus is working out their local response to COVID19 with guidance from UCOP. Campuses are generally getting ready to conduct classes remotely. UCORP members wanted to know whether there were any guidelines around research and for communicating with graduate student researchers. There is some backlash among faculty around being asked to teach classes online.
- UCOP is starting to think about its response in the event of a negative supreme court ruling on DACA.
- The Working Group on Comprehensive Access released a “Chair’s Report” along with letters stating differences of opinion within the Working Group. The President will present recommendations for moving forward at the May Regents meeting.
- The Standardized Testing Task Force report is currently out for systemwide review. It will be discussed by the Assembly of the Academic Senate and then the Regents.
- Other continuing topics include monitoring the racialization of foreign influence, investigating the implications of UC offering online undergraduate degree, and the search for the next UC President. An announcement on that is expected in May.

### **4. Consultation with the Office of the President – Office of Research and Innovation**

- *Bart Aoki, Executive Director, Research Grants Program Office*
- *Kathleen Erwin, Director, UC Research Initiatives*
- *Emily Rader, Research Strategy and Portfolio Manager*
- *Janna Tom, Director, Research Policy Analysis and Coordination*
- *Andrew Jones, Research Policy Manager*
- *Dragana Nikolajevic, Research Policy Manager*
- *Agnes Balla, Research Policy Manager*

The new UC Vice President for Research & Innovation, Theresa Maldonado, will start tomorrow.

**Research Policy items:**

*Foreign Influence:* UCORP received an update on Conflict of Interest/Conflict of Commitment reporting, and requirements from the Department of Energy and for prior approvals for foreign nationals. The primary takeaway is the need for proper reporting and disclosure. A big topic in the research community is a clause in DOE funding contracts that forbids students and researchers from other countries – who are not US citizens – from participating in research projects. UC is joining with other higher education institutions in responding to RFIs and new legislation to try to maintain the fundamental research exception. Funding agencies are updating their policies and in some cases UC has asked for more clarification.

UCORP members had questions about the number of qualified PIs in the UC system who are foreign nationals and the consequences for recruitment if there are increases in citizenship restrictions. This will be an ongoing topic and UCORP will be kept apprised.

*UC Policies:* A new proposed UC policy on gifts and sponsored awards will be circulated for review later in March. It is intended to replace the old gifts/grants policy, which was a letter from 1980. Other upcoming new or revised policies include Openness in Research and NAGPRA.

*Public Access for Federally Funded Research:* UC's Office of Research Policy Analysis and Coordination (RPAC) drafted a response to the OSTP's request for Public Comment on Public Access to Peer-Reviewed Scholarly Publications, Data and Code Resulting From Federally Funded Research. UCORP members generally support a zero-day embargo but understand that there are privacy and intellectual property concerns. OSTP is working with federal agencies to develop consistent policies.

*Characteristics of Data Repositories:* UCORP reviewed a draft letter from RPAC in response to an OSTP request for public comment on Desirable Characteristics of Repositories for Managing and Sharing Data Resulting From Federally Funded Research. OSTP has issued a draft list of characteristics that is not controversial, but provides an opportunity for the research community to ask questions and bring up issues like consistent terminology.

*COVID-19:* The impact of the Coronavirus is still unknown. There will be a big impact on research projects at UC and nationwide. UC researchers should contact their funding agencies directly with questions. As the situation continues to evolve UC will maintain a website with information. Research Policy Analysis and Coordination Director Janna Tom said to send her any questions related to UC research. UCORP members wanted to know about guidelines for advising graduate students who participate in labs and about whether buildings would be open. Animal researchers, environmental health and safety personnel, and others are meeting to determine responses.

***Research Initiatives items:***

*MRPI RFP timeline:* Offered every other year, the multicampus research programs and initiatives grants are awarded to projects involving a minimum of three campuses. Campuses can collaborate for a planning/pilot award or a program award. The RPFs will be out in March, with LOIs due in April and full proposals due in August.

*CARE Fellowship competition:* The CARE-UC Innovation Fellowship is a pilot partnership research and training opportunity intended to strengthen the workforce pipeline and expertise in alleviating poverty and improve human conditions in locally, nationally and internationally. The six-month graduate fellowship includes a summer placement and \$9,000 stipend, plus travel allowance. Applications were received from twenty students for this year.

*LFRP Graduate Fellowship Opportunity:* The call for the Laboratory Fees Research Program graduate fellowship will be distributed in April via the usual networks.

## **5. MRU Reviews**

*Richard Desjardins, UCORP Vice Chair*

The review group for the Bioengineering Institute of California (BIC) circulated and edited a draft report. UCORP members discussed appropriate recommendations for the small and unfunded MRU. Per the Compendium guidelines, the review should evaluate whether the unit provides a unique service to UC in research, support of graduate education, and public service, and whether it should be continued for another five years.

The recommendations for BIC will include better outreach via its website and other means, and the need to provide accurate and up-to-date information in its reports.

## **6. Issues Under Systemwide Review**

- Report of the Academic Council's Standardized Testing Task Force (Comments due March 23, 2020)

UCORP members mentioned the potential differences in predictive ability between the math and verbal sections of the SAT. Some noted that the math SAT score can be predictive for success in the sciences. Overall, UCORP supports the conclusions.

**Action:** Vice Chair Richard Desjardins will draft a letter on behalf of UCORP to circulate to committee members.

## **7. Campus updates**

*Berkeley:* UC Berkeley's local COR is discussing funding agencies' policies around SVSH. Federal agencies have been instituting new policies that are not coordinated.

*UC Davis:* UC Davis representative Karen Bales reiterated her concern about the relationship between UC's and federal public access policies for data and public records act requests. CPRA requests have been a serious issue for animal researchers recently. Recent work of the UC Davis COR includes:

- Reviewing a climate change resolution for the campus that was initiated by faculty and is working its way through the divisional Senate
- Meeting with campus police in response to thefts and vandalism in campus labs
- Meeting with the new administrator in charge of the animal care program
- Meeting with representatives from building projects to discuss faculty input
- Sending out a call for faculty grants

*UC Irvine:* The local committee reviewed an ORU: the Institute for Immunology, and discussed the potential impact on research of a switch from quarters to a semester schedule.

*UC Merced:* UC Merced's ORU review policy is being reviewed. The local committee is restructuring its faculty grants program, including a request for more funding.

*UC Riverside:* The new Vice Chancellor of Research and Economic Development joined the committee at their last meeting for general discussion and to update the committee about restructuring. Faculty grant proposals are due today and will be reviewed this spring.

*UC San Diego:* The local COR reviewed the Kavli Institute of Brain and Mind. UCSD missed out on additional funding from the Kavli Foundation because it did not provide matching funds. A report from the UCSD Climate Change Task Force has been released.

*UCSF:* At the last meeting the UCSF COR discussed removing embargos on open access papers. The local committee is discussing F&A costs and where the funding ends up. The Institutional Review Board has been filling vacant positions and working through a backlog. The Chancellor issued a statement advising against international travel due to COVID-19.

*UC Santa Cruz:* The big issue is the graduate student strike. More housing is desperately needed near the university. The viability of the institution depends on infrastructure, including its future as a research university.

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Videoconference ended: 3:50pm  
Meeting minutes drafted by: Joanne Miller, UCORP analyst  
Attest: Andrew Baird, UCORP Chair

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***Videoconference participants:***

*Committee members:* Andrew Baird (Chair), Richard Desjardins (Vice Chair), Irina Conboy (Berkeley), Karen Bales (Davis), Lee Bardwell (Irvine), Kathrin Plath (Los Angeles), Michael Scheibner (Merced), Kelly Jeong (Riverside), Tannishtha Reya (San Diego), Stuart Gansky (San Francisco), Liming Zhang (Santa Barbara), Paul Roth (Santa Cruz), Jeanmarie Gonzalez (Graduate Student Representative, UCSF), Atreyi Mitra (Undergraduate Student Representative, UCSD), Kum-Kum Bhavnani (Academic Council Chair).

*Consultants, Guests, and Staff:* Ken Janda (Professor Emeritus and Previous Dean of Physical Sciences, UCI), Matthew St.Clair (UCOP Director of Sustainability, Energy & Sustainability), Lifang Chiang (UCOP Research Strategy and Portfolio Manager), Bart Aoki (Executive Director, Research Grants Program Office), Kathleen Erwin (Director, UC Research Initiatives), Emily Rader (Research Strategy and Portfolio Manager), Janna Tom (Director, Research Policy Analysis and Coordination), Andrew Jones (Research Policy Manager), Dragana Nikolajevic (Research Policy Manager), Agnes Balla (Research Policy Manager), Joanne Miller (Committee Analyst).