

UNIVERSITY COMMITTEE ON RESEARCH POLICY

Monday, April 10, 2023

Meeting Minutes**I. Announcements, Approval of Meeting Minutes***Cynthia Schumann, UCORP Chair*

Chair Schumann reviewed the agenda for the meeting and asked committee members to think about suggestions for how to make meetings more efficient next year.

- Meeting minutes from March 13, 2023, were **approved**.
- MRU Review Report progress: The comments submitted for each MRU report will be compiled and circulated for final review.
- Campus Updates (including campus plans to help faculty with the increased cost of supporting graduate students, if anything new since last meeting)

Campus Updates

UCLA: UCLA's COR is discussing whether it can be more impactful beyond its advisory role. COR does not have a seat on the UCLA division's Executive Council of the Academic Senate. The committee is also discussing the shortfall in funding resulting from the UAW contract agreement, which at UCLA is projected to be nearly \$100 million across all categories (Tas, GSRs, postdocs, etc.). COR discussed the revised UC Patent Policy and members expressed concern about the elimination of specifics for distribution of royalties and lack of clarity around partnerships with non-UC entities. COR completed its faculty research and seed grant reviews and plans to distribute \$1.37 million.

UCSF: UCSF has a new Vice Chancellor for Research and EVC/Provost. The local committee has met with both of them and discussed faculty research issues. The Senate is working on being responsive to the systemwide Covid recovery report¹, as well as making bridge funds accessible to all schools. A representative from the COR sits on UCSF's Executive Council.

UC Berkeley: No update – waiting for local committee report.

UC Davis: There was an increase in faculty grant applications this year. Davis gives out three types of grants: travel grants, small grants (of \$2k), and large grants (of \$25k). The committee deliberating how to divide the funding to make as many small grants available as possible. UC Davis is setting up new funding for core services, and a report from a committee is coming out in spring. The interim VCR met with the COR and requested faculty input on an NIH RFI for reimagining post-doctoral training. UC Davis will provide feedback. (UCSF also provided comments.) COR is represented on the UC Davis Executive Council by the Chair.

UC Irvine: The UCI campus is experiencing budget cuts. There is some frustration with shared governance on the part of the faculty due to lack of consultation by the administration. For example, a change to a data storage agreement with Google seemed to have no consideration for how it would impact faculty. COR is represented on the UCI Executive Committee.

¹ <https://senate.universityofcalifornia.edu/files/reports/rh-senate-divs-mcifwg-report.pdf>

UC Merced: UCM's committee has given out \$275k for small grants and \$300k as part of an instrumentation grant opportunity. UCM received its own separate allocation of the State climate resilience funds and COR has been brought into the first rounds of distributions, which went to twenty-three proposals. There is still a crisis of financial functionality on the campus that started with the Oracle financial system. It is still challenging to get grant balances from the system and to retain staff. COR, Faculty Welfare, and Academic Freedom committees are collaborating to draft a memo to the administration. COR is represented on the UCM Divisional Council.

UC Riverside: UCR's COR is working on faculty grant proposals and would be interested in discussing grant funding levels of other campuses at some point.

UC Santa Barbara: UCSB is proposing a 50/50 sharing of cost for GSRs with PIs. The same level of funding for TAs as last year is expected. UCSB rep David Stuart has been appointed to the local committee that was formed to address graduate student issues post-strike.

UC San Diego: The UCSD chancellor is providing \$10m to fund the shortfall for GSRs. \$20m in bridge funding will come from the Office of Research Affairs. However, PIs are being asked to first exhaust their grants before moving up the food chain to program manager, departments, deans, etc.

II. Consultation with the Office of the President – Office of Research and Innovation

Scott Brandt, Associate Vice President for Research and Innovation

Kathleen Erwin, Executive Director, Research Grants Program Office

Deborah Motton Executive Director, Research Policy Analysis and Coordination

Lourdes DeMattos, Director, Research Policy Analysis and Coordination

Agnes Balla, Director, Research Policy Analysis and Coordination

- ***Associate Vice President for Research and Innovation***

DOE Hydrogen Hub Funding Opportunity

The phase one energy proposal was completed and submitted by ARCHES,² the public-private consortium – now up to 40 partners – created to lead the project. The DOE is awarding up to \$8 billion for projects and infrastructure to regional hubs focusing on consumption, production, transportation, and storage of hydrogen. With additional and matching funds, the total is now up to \$13 billion available. UC is leading California's effort. Although funding for research was officially removed from the DOE initiative, with all of the additional funding there will be research opportunities connected to it. The State of California has committed to a renewable energy transition by 2045 and there is a big need for research and engagement, and some additional opportunities have already arisen. ARPA-H (federal agency for advanced research in health care) has reached out to UC regarding an innovation hub and health data commons.

- ***Office of Research Policy Analysis and Coordination***

Research Security

The Federal Government's OSTP (Office of Science and Technology Policy) recently released an RFI for draft research security standards that were developed in response to NSPM 33 – the National Security Presidential Memorandum on National Security Strategy for United States Government-Supported Research and Development (R&D).³ The standards would impact all investigators who receive federal funding. The five areas for comment are: equity, clarity, feasibility, burden, and compliance. A working group has been convened to draft UC's feedback, which will encourage a risk-based approach. Comments are due June 5th, and national groups are also responding. UC already has applicable structures in place, including training modules,

² <https://archesh2.org/>

³ <https://www.federalregister.gov/documents/2023/03/07/2023-04660/request-for-information-nspm-33-research-security-programs-standard-requirement>

but researchers can expect additional requirements. UC's Office of Ethics, Compliance, and Audit Service (ECAS) and the campus Offices of Research will be responsible for compliance.

NIH RFI on Plan to Enhance Public Access to the Results of NIH-Supported Research

UCOP's Agnes Balla is coordinating UC's response to the NIH RFI on its Plan to Enhance Public Access to the Results of NIH-Supported Research.⁴ The RFI seeks input on four issues related to scholarly publications:

1. Strategies to ensure equity in publication opportunities for NIH-supported investigators
2. Steps to improve equity in access and accessibility of publications
3. Methods for monitoring evolving costs and impacts on affected communities
4. Input on considerations to increase findability and transparency of research

To further provide public access to scholarly publications, agencies will not be allowed to enforce embargo periods. Access to data will include access to metadata and persistent identifiers. UC's comments will emphasize the need for interactivity of repositories and for any publication cost to be reimbursable even after the grant has closed. Any UC UCORP member or faculty member who wishes to contribute should contact Director Balla.

NAGPRA

UCOP will be issuing a NAGPRA (Native American Graves Protection and Repatriation Act) policy clarification document. A key element is that research restrictions in the policy do not apply to collections that are not under UC control. While the policy has restrictions on use of the *type* of materials that UC researchers can use, it does not restrict what is said or written about them.

• UC Research Initiatives

MRU Review Updates

Notices for next year's review cycle will be sent to MRU directors soon. The UC Humanities Research Institute is scheduled for its five-year review next year.

This year's review groups are putting together their comments and will have recommendations by the end of May. UCORP will also have recommendations for streamlining the MRU review process.

California Climate Action initiative⁵

A four- to five-year initiative sponsored by the State of California, the California Climate Action Initiative provides a total of \$185m to UC. The first rollout of funds was awarded for the intersection of climate and innovation & entrepreneurship. Funds were distributed to VC-Rs at all UC locations. The second component was a statewide RFP that included both seed and matching grants. 460 letters of intent were received in January. After review, 250 were approved to move on to the next step of submitting a full proposal. Proposals for seed funding grants of up to \$2m were due at the beginning of April. Proposals for larger matching grants are due in May. A full review of proposals will be conducted in June. A total of \$80m will be awarded. Subject panels are being convened that are comprised of reviewers from across the country, representing academia, experts from industry and end-user communities, and those involved in advocacy for the various topical areas (health, wildfire, etc). The approximately 100 reviewers were solicited via nominations from VCRs, proposal submitters, and word of mouth recommendations.

Lab Fees Research Program (LFRP)

The LFRP Collaboration Research and Training (CRT) call was paused in order to assess the thematic areas and process to better address the goals of UC's Office of the National Labs. These include sustained, longer-lived partnerships, in addition to bolstering the pipeline of lab workers. There are two proposed changes. The

⁴ <https://osp.od.nih.gov/nih-plan-to-enhance-public-access-to-the-results-of-nih-supported-research/>

⁵ <https://uckeepresearching.org/california-climate-action/>

first is to spend more time on planning for the each of the workshops on the thematic areas and to bring in more early career faculty and new lab staff. The outcome will be not just to find partners, but to have a detailed summary report on the thematic topic that includes the opportunities for that area. The second change is to convene a study group to bring together a collaborative group of UC faculty to address research in economic security. Co-leads would be nominated by VCRs, and the group would meet for a year and produce a final report that would influence research policy. For the 2024 cycle, the two CRT thematic topics will likely be microelectronics and community implementation science for emerging clean technologies. These topics and their framing were influenced by input from UCORP and ACSCOLI. The study group topic will be economic security and research information management.

III. Strike After-Action Discussion Preparation (*Executive Session*)

Committee members prepared for the “after-action” discussion with Vice Provost for Academic Personnel and Programs Amy K. Lee. In the aftermath of the graduate student strike and union contract, faculty remain concerned about funding, grant management, mentor/mentee relationships, where to turn to for guidance, and other issues. Although this is a period of transition, there is a general feeling that the faculty just have to adapt.

IV. Academic Senate Leadership Update

Academic Council Chair Susan Cochran and Vice Chair Jim Steintrager joined the meeting to provide an overview of current activities of the Senate.

Last week, the Regents’ Innovation & Entrepreneurship committee discussed patents and trademarks. Most patents do not generate significant income, but occasionally there is a big one and the concern is that UC is “leaving money on the table.” The Regents need to determine how much to invest now into keeping costs down. An RFP for a new patent tracking system will be released soon.

A joint faculty-administration systemwide workgroup focusing on implementing the “achievement relative to opportunity” (ARO) principles will be convened and co-chaired by UCAP Chair Francis Dunn and Vice Provost for Academic Personnel and Programs Douglas Haynes.

Another systemwide workgroup on the Future of UC Doctoral Programs will be convened soon, chaired by UCSB Senate Chair Susannah Scott and UCI Vice Provost for Graduate Education Gillian Haynes. UCORP Chair Cynthia Schumann will serve on the group, which will address what changes are needed in doctoral education in the context of unionized employees. One outcome might be guidelines for distinguishing between labor and academic work.

There is renewed interest in some sectors around UC to start accepting research funding that comes with restrictions. As a rule, UC does not accept funding with restrictions on citizenship or publication, but there are workarounds and exceptions that occur. Although some STEM faculty feel that they are not able to fully do their research without the ability to accept restricted funding opportunities, deliberations on the issue will need to think about how restricted funding would benefit the broader research enterprise.

V. Strike After-Action Discussion (*Executive Session*)

Amy K. Lee, Associate Vice Provost, Academic Personnel & Programs

UCOP’s Amy K. Lee joined the meeting to give UCORP members an opportunity to provide feedback on matters related to recent labor actions. Faculty feedback will be shared with Provost Newman and President Drake. A FAQ on the union agreements is posted on the UCOP website.

Meeting minutes drafted by: Joanne Miller, UCORP Analyst
Attest: Cynthia Schumann, UCORP Chair