

**UNIVERSITY COMMITTEE ON RESEARCH POLICY**  
**Monday, April 11, 2022**

## Meeting Minutes

### I. Chair's Announcements, Approval of Meeting Minutes

- ***UCORP Statement on Impact of Graduate Student Unionization on Research – update***

Chair Karen Bales reported that the Academic Council discussed the issues raised by UCORP's letter regarding potential impacts of graduate student researcher unionization negotiations on the UC research enterprise. Council felt that UCORP's suggestions for short-term solutions were not quite adequate and that the overarching issue of funding for graduate education needed to be addressed. Chair Bales said that the first negotiating session between the university and the GSR union was held on April 5<sup>th</sup>. Since negotiations are just beginning, the exact union demands are unknown. The Academic Council suggested that UCORP work with CCGA to draft a statement of the issues. UCOP Vice President for Graduate and Undergraduate Affairs Yvette Gullatt will then be invited to join an Academic Council meeting to share information from the administration.

UCORP members discussed input for a joint UCORP/CCGA "statement of issues" about GSR unionization, including:

- Attempting to solve the problem of funding for graduate education is not feasible in the short term. Therefore, an immediate solution may be a short term "Band-Aid" approach while working to solve the bigger issues in the longer term.
- Low wages at UC is an issue for many groups. Should other groups be included?
- Ask for permanent State funding for graduate students that is adequate for the needs.
- Part of the issue is that UC's budget is large and opaque.
- What input do faculty have on the union negotiations?
- Potential impact of unionization on the relationships of GSRs with their PIs. It is not just employer/employee or hiring someone to get a job done. There is usually some training or mentoring.
- It would be helpful to have projections or data modeling to estimate the impact.
- PIs on "soft money" will have different issues. There is likely not a "one size fits all" solution.

**Action:** Chair Karen Bales will bring UCORP's ideas/concerns to CCGA and develop a plan for action.

- ***TF-ANR Request for Endorsement of Proposal for an External Review of UC ANR – update***

Academic Council Chair Robert Horwitz suggested that the ANR-TF present its findings and suggestions to the ANR (Agriculture and Natural Resources) Governing Council. UCORP does not have to weigh in.

- ***Update from Academic Council meeting***

Research Grants Program Office Executive Director Bart Aoki is retiring. Chair Bales is serving on the search committee. This is a key position at UC, especially at a time when the university expects to see an influx of climate crisis funding.

**Action taken:** Meeting minutes from March 14, 2022 were approved.

### II. Consultation with the Office of the President – Office of 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*

*Janna Tom, Director, Research Policy Analysis and Coordination*

*Lourdes DeMattos, Associate Director, Research Policy Analysis and Coordination*

- ***Updates***

Executive Director Bart Aoki provided general updates for VP Theresa Maldonado, who was unable to join the meeting.

- The Council on Research revamp is still in progress. VP Maldonado might circle back with the ad-hoc group that proposed the Council in order to make sure some new changes to the plan are acceptable.
- The Innovation and Entrepreneurship transformation project is proceeding. There have been issues raised around OP vs campus responsibilities. The VC-Rs are fully engaged and have endorsed decentralizing many of the workflows related to intellectual property (patent, mainly). This will be a change for some campus staff, who will need to understand the changes and accommodate workflow changes.
- Funding for climate resilience research in the Governor's budget is on track and should be in the May Revise. UC is planning for \$185 million for research and innovation in climate resilience. The VC-Rs are doing preliminary planning to pave the way for the \$100m research grant funds to be distributed in the first year.
- UC is involved in a Department of Energy competition for funding for hydrogen hubs. The Governor's office asked UC to lead the effort. UC will work with industry leaders and others in the State to develop a plan

- ***Office of Research Policy Analysis and Coordination (RPAC) updates***

UC's three policies related to patent are being revised and combined into one "Global Economics Policy" (Equity, Patent, and Conflict of Interest). The revision process will start with informal consultation with stakeholder groups, then formal consultation of a draft document, followed by a full systemwide review.

- ***UC Research Initiatives***

RFPs were circulated for the UC Multicampus Research Programs and Initiatives (MRPI) and for the 2023 UC-National Laboratory Fees Research Program (LFRP) Graduate Fellowship Opportunity. Webinars were held for MRPI applicants and have been going well.

Changes to the MRU reporting templates will be made in alignment with input from UCORP. Most of the changes are around clarifying definitions. Revised templates will be sent via email and then UCORP will discuss them at the next meeting. Templates for the following year are usually sent to the MRU Directors in June.

In discussion with the UCOP Research and Innovation staff, UCORP members asked about "foreign influence," and whether more light could be shed on colleagues at other institutions who have been caught up in these matters and in disciplinary procedures. Faculty are concerned about what is causing these situations. The general advice is to always to disclose everything. Often, the government pursues cases where it appears that some information is being withheld. When in doubt, disclose. The disclosures are part of the documentation that is included in the grant proposal process from certain research sponsors, and may not be applicable to many researchers.

New guidance from the federal government will be forthcoming after the recently released Report from the Joint Committee on the Research Environment (see UCORP's March 2022 meeting). All campuses have examples of how to disclose information, generally as part of the Office of Research. Faculty can search for "foreign influence grants" on their campus websites to find resources.

### **III. MRU Reviews**

The MRU review groups will plan to finish their reports by May 13<sup>th</sup>.

In terms of changes to the Annual Report (and Five-Year Report) templates, UCORP members would like to see the MRUs provide more information on the diversity of their members/participants. One suggestion was to ask for a plan for enhancing diversity, similar to the NIH.

#### **IV. Academic Senate Leadership Update**

*Robert Horwitz, Academic Council Chair*

*Susan Cochran, Academic Council Vice Chair*

The Board of Regents met in March with Rich Leib as interim chair. The Investments Committee is concerned about the impact of Russia's invasion of Ukraine on financial markets. There are also concerns about foreign influence and increase risk of cyber-crime.

The Regents' Academic & Student Affairs Committee discussed the websites Chegg & Course Hero. The Chief of UCSD's Academic Integrity Office joined the meeting and explained that, in terms of student cheating, it is more effective to focus on academic integrity rather than trying to catch and punish cheaters. UC Legal still does not think a lawsuit against the websites would be successful. But the Senate leaders will consult an IP expert from outside counsel and will talk to CSU and community college legal offices to try to forge a coalition to hold the cheating websites accountable.

The Regents' Health Services Committee is overseeing new affiliations contracts signed with religious and other health care partners. A policy on affiliations has been sent out for systemwide review. The Senate is asking UCOP's Ethics, Compliance, and Audit Services (ECAS) about establishing procedures for reporting situations that violate the agreements. There is a new Joint Clinical Advisory Committee to be co-chaired by the Academic Senate Chair and VP for UC Health Carrie Byington. The Senate will also appoint six faculty members to the committee, which will start in May.

UC's fraud protection provision has been extended for two more years. The Senate is still asking that it be part of the general benefits package.

A search for UC Provost Michael Brown's replacement is underway.

In December, the Academic Council responded to (US) Presidential Proclamation 10043,<sup>1</sup> which placed new restrictions on scholars from China. UC President Drake agreed with the Council, but UC's Office of Federal Government Relations is hesitant to take it on as an issue due to political dimensions. The proclamation has certainly had chilling effects within academia.

The incoming Vice Chair of the UC Academic Senate will be Jim Steintrager from UC Irvine.

A Task Force charge to look at UC's entry level writing requirement has submitted its first report to the Academic Council. A second report with final recommendations will be coming in May.

The Academic Council reviewed a proposed new Ethnic Studies requirement that would align with the new California state requirement. This needs to be articulated in the A-G admissions guidelines, which is the purview of the Board of Admissions and Relations with Schools (BOARS). The proposed new requirement was sent out for systemwide review, and while some campuses thought it was fine, others were uncomfortable with language that they found too rhetorical or unduly political. The text has been sent back to BOARS for further consultation.

UCAF drafted guidelines for departments who put political statements on their websites. This is a divisive issue, with some who think political statements on departmental websites is never a good idea and others who think that it's within the purview of their department. Most commenters agreed that while not always safe or easy, it was permissible. To protect anyone who doesn't want to sign on to a departmental sentiment or feel coerced, the guidance will recommend bylaws around who can decide and how to phrase. UCAF will make minor changes to the guidance and send back to the Academic Council.

UC is asking the state for a one-time request of \$1.6 billion for capital improvements.

UC's Human Resources office has said it will restore in-person retirement counseling. There were many complaints about the new pharmaceutical benefit (Navitus), which was so bad that an apology was sent out to the UC community. The Senate is trying to find out who is accountable.

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<sup>1</sup> [https://senate.universityofcalifornia.edu/\\_files/reports/rh-md-presidential-proclamation-10043.pdf](https://senate.universityofcalifornia.edu/_files/reports/rh-md-presidential-proclamation-10043.pdf)

The Working Group on Mitigating the Impact of Covid on Faculty has finished its final report, which will be sent to Provost Brown. It will then be sent to campuses and should be widely distributed.

Last year, a survey that Academic Council Chair Mary Gauvain put together helped inform the working group and present information to the Regents. An updated version of the survey is being prepared and will be sent to faculty in the next couple of weeks.

A climate crisis “Memorial to the Board of Regents” from the Academic Senate will be sent to campuses for full faculty vote once it is approved by the Assembly of the Academic Senate.

Facilitating transfer of community colleges to UC and CSU remains a focus for the California State legislature and UC is working with the other segments to create a general education transfer pathway.

UCORP also talked with Chair Horwitz about the unionization of GSRs, including worries around maintaining the mentoring relationship within a potential new dynamic post-negotiations. Chair Horwitz suggested that the university take the traditional employer role so the PI could continue to be an advisor. Other universities offer examples of ways to incorporate unions into graduate affairs. After UCORP consults with CCGA, the chairs will bring information to an Academic Council meeting. The Academic Council will also invite administrators from UCOP’s Office of Graduate Student Affairs.

## **V. Items Under Review: Proposed Policy on UC Research Data**

- [Proposed Presidential Policy on UC Research Data - Second Systemwide Review](#) - Comments due April 19, 2022

UCORP discussed how to respond to the second systemwide review of the Proposed Policy on UC Research Data. Members mentioned:

- Recognize difference in fields (appropriate for FAQ).
- Clarify what happens to your data if you leave it with UC. What if a graduate student does this? Is grad student data protected in the same way as before?
- Insufficient information on the need for this policy.
- Concern about additional work for libraries.
- Expansion of the role of researchers, who now need to become archivists. Is this also an unfunded mandate for libraries?
- The policy should include more information about how to store and manage data (appropriate for FAQ/accompanying guidance).

**Action:** Chair Bales will synthesize the comments and draft a letter to send to the Academic Council. UCORP members will have a chance for a quick review of the draft before it’s finalized.

## **VI. Round Robin of Reports from the Campuses and of Interest to UCORP**

Chair Karen Bales provided some good news for animal research at UC. UCORP had written to the administration last year about the burden of federal & state public records requests that were interrupting the work of animal researchers and seen as a high potential for threats to researchers when videos are released. UCOP convened a working group on transparency on animal research whose members include staff and faculty (including Chair Bales). UC Davis just announced that it prevailed in a lawsuit brought by the animal activists group PETA. PETA was trying to obtain videos from the California National Primate Research Center housed at UC Davis, but the court ruled that releasing the material did not serve the public interest and would undermine academic freedom and the scientific process while increasing the risk to researchers of harassment from activists. The court also said that the PETA demand imposed an unreasonable burden on the researchers of segregating the videos for public disclosure.

*UC Berkeley:* Faculty are pleased that the projected enrollment freeze was lifted. Faculty and students from Ukraine are taking the lead in working to help Ukrainian visitors associated with the campus.

*UC Davis:* Davis is reviewing applications for Senate grants. About 50 proposals were submitted for the large grants, which go through a primary and secondary review. COR heard an update from the sponsored programs office that included consultation on complaints received about overhead costs. The medical school has a grant mechanism for those impacted by Covid.

*UC Irvine:* UCI's CORCL will be having discussions cybersecurity and foreign influence. A large majority of faculty voted to stay remote for meetings.

*UCLA:* No update.

*UC Merced:* The COR is reviewing proposals for Senate grant awards and a policy on the creation of new centers. They are also working to finalize a letter to the administration on the horrendous experience brought by the new financial system.

*UC Riverside:* The COR is working on reviewing faculty grant proposals. An issue that has come up is how reviewers can properly understand and evaluate proposals if they are outside of the field.

*UC San Francisco:* The UCSF COR continues to focus on internal issues with IRB and human resources. There is a new round of Covid relief funds that are readily available in small amounts. Larger awards are offered for documented hardship.

*UC Santa Barbara:* The COR is discussing the idea of a faculty survey. They received UCSC's draft and discussed. With a forthcoming systemwide survey there may not be a need for a local one. Research grant applications are under review. There were a similar amount of submissions as usual.

*UC Santa Cruz:* The Senate is pleased that they have approval for a new faculty allowance program.

*Undergraduate report:* UCSC is getting back to fully in-person and more undergraduate research picking up again.

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