

**UNIVERSITY COMMITTEE ON RESEARCH POLICY**  
**Monday, June 10, 2019**

## Meeting Minutes

### 1. Chair's announcements, approval of minutes

*Andrew Baird, UCORP Chair*

- UCORP's draft letter requesting endorsement of climate change principles for UC was approved and will be forwarded to Academic Council Chair Robert May from UCORP.
- The chair of the Academic Senate's University Committee on International Education (UCIE) wrote to Chair Baird requesting that UCORP cosponsor a proposal to hold a system-wide UC International Engagement Conference. More information to come as planning progresses.
- UCORP members will check with their local CORs to make sure problems with Composite Benefit Rates are being addressed and help is available.

**Action:** Meeting minutes from April 8 and May 13 were approved.

### 2. Consultation with UC's Division of Agriculture and Natural Resources

*Wendy Powers, Associate Vice President, ANR*

Associate Vice President for Agriculture and Natural Resources Wendy Powers joined the meeting via video to talk about the wide-ranging programs of ANR. UCORP members were interested in how to increase awareness of ANR on the campuses, especially outside of Berkeley, Davis, and Riverside (which are legislatively mandated to host Agricultural Experiment Stations), and expand collaboration. There are approximately 400 people with partial AES appointments in the UC system; the majority are affiliated with UC Davis.

AVP Powers said that ANR strives to build awareness within UC and in the public. There is a portal for funding opportunities on the ANR website, and the Contracts and Grants department sends out information about funding opportunities that are led by ANR. Powers now has a seat on the Council of Vice Chancellors for Research (COVCR), which is another information sharing venue. Local CORs may find out about opportunities through interactions with their VCR. In terms of funding, Powers said that federal dollars flow through ANR to campuses while State funding goes directly to the three campuses that host Agricultural Experiment Stations.

California's Cooperative Extension System engages academic researchers who are Specialists or Advisors. The Specialist title requires a PhD. The Advisor designation requires a Master's degree, but most Advisors have PhDs and beyond. Most Specialists are traditionally affiliated with the Davis, Riverside, and Berkeley campuses, but more recently can be found at Merced, Santa Barbara, Santa Cruz, and a few other locations. There are Advisors in all (but one) county in the California [Research and Extension Center](#) (REC) system. Research, as well as community outreach and involvement, is required in these positions for merit and promotion.

UCORP members agreed that awareness is big issue. Powers will join the October UCORP meeting to talk more about what ANR has to offer as part of an ongoing dialog. Funding could

be an incentive for increasing interactions between ANR and other UC researchers, and perhaps a pilot collaboration project could be developed.

**Action:** The committee analyst will ask for the list of faculty members at each UC campus who are involved with ANR.

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

*Robert May, Academic Council Chair*

UCSF/Dignity – The proposed affiliation between UCSF and Dignity Health has been called off. Chair Robert May said the university should not enter into contractual agreements with entities that do not align with UC’s values.

Budget – It looks as if the May revise of the Governor’s Budget will be endorsed by the State legislature. It is less than what UC had hoped for, and there is no carry-forward of one-time funds but there is a re-direction of money for enrollment growth.

Faculty Salary Increases – President Napolitano is on board with increasing on-scale salaries, but raises might be postponed from July to October, or reduced from 5% to 4% for this year due to the state budget. Apparently UCPATH has no ability for retroactive pay.

Academic Council meeting recap – The proposal for an online degree at UCI was rejected by UCEP and by Council. UC students seem to like online courses as an element of their college education, but solely online degree programs are another matter. UCOLASC’s Principles for Transforming Scholarly Communication were endorsed. A statement regarding the federal government’s curtailment of fetal tissue research has been added to the Academic Senate website. A Memorial to the Regents regarding divesting endowment funds from fossil fuels is underway with voting now taking place on each campus.

Potential Changes in Retirement Health Benefits – The UC Faculty Welfare Task Force on Investment and Retirement (TFIR) is monitoring potential changes to retiree health benefits, including premium increases.

Scholarly communication – The situation with Elsevier remains the same, with negotiations halted but access to content still available. If and when access to new content is cut off, the UC libraries have a plan for communication for how to obtain Elsevier-controlled materials. Committee members expressed concern that the burden of paying for scholarly material is shifting from the library to individual scholars, and that could be used as rationale to cut the library budget. The faculty might consider drafting some principles of support for faculty publication or a formal letter of support for maintaining library budgets.

### **4. RGPO Current State Assessment Report & Recommendations for the “Future State”** (Comments due July 1, 2019)

Committee members discussed the “Research Grants Program Office Current State Assessment Report” and its proposal for the future of the office. There was some concern about what was seen as a recommendation to expand the Office’s scope to include non-research related grants, and there appeared to be no mention of how UC’s MRUs relate to the future vision of the Office. UCORP members discussed the role of the Academic Senate in oversight, the pros and cons of expanding RGPO, and whether RGPO could accommodate the rapidly changing landscape of

science funding. Members also reiterated the need for metrics to evaluate success of the programs.

## **5. Consultation with UCOP - Ethics, Compliance and Audit Services**

*Alexander Bustamante, Senior Vice President and Chief Compliance and Audit Officer*  
*Shanda Hunt, Systemwide Research Compliance*

- Foreign influences on research integrity
- Development of education and training for UC research faculty

Chief Compliance and Audit Officer Alexander Bustamante described his position within the university as an independent assessor with dual reporting responsibility to the Regents and to President Napolitano. His responsibilities for risk assessment, investigations, and auditing cover the campuses and the Berkeley Lab. Each location has a designated Locally Designated Officer (LDO) that reports to him. Related campus offices and duties include whistleblower and compliance, and topic areas include healthcare, privacy, and information technology. There are 30 employees in the OP office and 250 people on the campuses.

At the request of President Napolitano, the Ethics, Compliance, and Audit Service (ECAS) Office developed a compliance plan to respond to government concerns. The plan has no new policy or rules, but rather emphasizes raising awareness of UC's existing policies and using existing mechanisms to audit high-risk areas. It also demonstrates to the federal government that UC is aware of the issue and is taking action to protect itself.

UCORP members said that the escalation procedures issued recently from UCOP may have caused problems on campuses around racial bias and profiling. Bustamante said that there would be changes to the next version so that it was clear that there needed to be a basis for escalating concern and that mere suspicion was not sufficient. He said the compliance plans are "country-agnostic" and that the focus is conflict of commitment and conflict of interest, not national origin. UCORP members felt that President Napolitano's February letters had already had a chilling effect that is in direct opposition to the university's mission and values. They suggested that UC send a clear message that the university welcomes people from all nations and is committed to international exchange. Apparently a letter is in the works.

UCORP members talked about FBI agents coming to campus, and about the potential impact on an individual researcher's reputation from mere suspicion. SVP Bustamante said that he welcomes suggestions for addressing campus fears and concerns for how to raise awareness without alienating people. Campus counsel can provide help to faculty members who feel they need advice or legal protection. Bustamante said that he is trying to rebuild relationships with campus research administrators. He is interested in helping to protect the research space and to prevent onerous governmental regulations. He looks forward to returning as a guest to UCORP meetings when invited.

Lastly, Bustamante's office will be asking for faculty members to volunteer to work on the content and roll-out of training modules that will be developed as part of the university's compliance plan.

## **6. 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*  
*Janna Tom, Director, Research Policy Analysis and Coordination (RPAC)*

- ***International Agreements***

VP Art Ellis updated the committee on the status of restrictions to some international contracts and grants. The Vice Chancellors for Research will be issuing recommendations, including restricting future interactions with Huawei and winding down existing agreements. He advised researchers with such contracts to start making contingency plans for the potential loss of funding. Although UC relies on the fundamental research exclusion with the federal government, that does not include all cases.

- ***Laboratory Fees Research Program***

The Laboratory Fees Research Program (LFRP) competition is proceeding and letters of intent for the graduate student fellowship have been received. For the first time there was an equal amount of interest in Los Alamos National Lab and Lawrence Livermore National Lab. For the multicampus/lab competition, most proposals were in the area of wildfires, but there were also proposals in the other thematic areas. In discussion with the Academic Council's Special Committee on Laboratory Issues (ACSCOLI), a concern arose about whether the competition favors groups that already exist. The burdensome eligibility rules were meant to narrow the field, but may turn out to be too restrictive. It was suggested that some of the funding could be used as seed funding or pilot projects, similar to the MRPI program. UCORP members like the requirement for multiple campuses, but thought that could be used as part of the evaluation of the proposal rather than as a requirement. Director Erwin cautioned that in the past, with less restrictive criteria, the LFRP received over 600 proposals. Too much of the funding was allocated to start-up projects, which were not able to show outcomes. It is also much harder administratively to manage so many small awards.

Like ACSCOLI members, UCORP members felt strongly that they would like to see mechanisms in place that could provide qualitative and quantitative measures to judge success, return on investment, and most importantly impact of the funded research programs.

- ***IP Exception Pilot for Qualified Visitors***

Director Janna Tom described a UC Pilot Intellectual Property Standing Exception for Qualified Visitors. The two-year program grants campuses the authority to agree to certain non-standard IP terms for visiting scientists participating in collaborative research. Visitors have to meet eligibility criteria.

- ***RGPO Current State Assessment Report and Recommendations***

RGPO Director Bart Aoki said that there are currently six programs currently included as part of RGPO. Three are statewide programs designated by the State that include UC and non-UC faculty (California Breast Cancer Research Program, California HIV/AIDS Research Program, and Tobacco-Related Disease Research Program). The other three are the Multicampus Research Programs and Initiatives (MRPI), Laboratory Fees Research Program (MRPI), and Cancer Research Coordinating Committee (CRCC). RGPO also manages a few other smaller funding streams such as Valley Fever Research, Type 1 Diabetes Research Voluntary Tax Contribution Fund, and the California Cancer Research Voluntary Tax Contribution Fund. Programs not

managed by RGPO include Cap and Trade, which is managed by the State, Cannabis, which will be managed by the Bureau of Cannabis Control, and Firearm Research, which will be administered out of UC Davis (with funds managed at UCOP).

A vote of confidence for RGPO, the Assessment Report suggests that the office can take advantage of its success to manage other, future opportunities. Any programs that are administered across UC or the state would be good candidates for RGPO management. The recommendation for expansion apparently came from the Huron Report, that charged UCOP to look at ways to increase efficiency. There are other, non-research related, grant competitions that are run out of UCOP that RGPO could potentially administer. Examples include the Innovative Learning and Technology Initiative (ILTI), UC-HBCU initiative (strengthening relationships with historically black colleges and universities), and faculty housing grants.

UCORP members asked about CRCC and whether the way funds are distributed could be modified. Funding for the CRCC comes from an endowment established in the 1940s under Chancellor Sproul from individual money that is bequeathed to UC and pooled. The combined income, which is now \$2 million, is made available to researchers as determined by the members of the Cancer Research Coordinating Committee, which establishes the funding priorities mechanisms.

UCORP members were interested in how the RGPO Assessment Report's recommendations would be implemented, and in oversight and accountability. Any "future state" should include plans for peer review, parameters for accountability, flexibility to allow change, and UCORP representation.

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**Action:** Chair Baird will draft a letter that will be circulated to UCORP members for comment.

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Meeting adjourned: 3:35pm

Meeting minutes drafted by: Joanne Miller, UCORP Committee Analyst

Attest: Andrew Baird, UCORP Chair

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### **Meeting participants**

#### ***Members:***

Andrew Baird (Chair), Nasrin Rahimieh (Vice Chair), Irina Conboy (B, via phone), Karen Bales (D), Jeffrey Barrett (I, via video), Richard Desjardins (LA), Tannishtha Reya (SD alternate), Stuart Gansky (SF), Tejasvinee Mody (Graduate Student Representative), Robert May (Academic Council Chair)

#### ***Consultants, Guests, and Staff:***

Wendy Powers (UCANR, via video), Alex Bustamante (UCOP Chief Compliance and Audit Officer), Shanda Hunt (Systemwide Research Compliance), Arthur Ellis (VP ORGS), Bart Aoki (RGPO), Kathleen Erwin (UC Research Initiatives), Emily Rader (ORGS), Janna Tom (Research Policy Analysis and Coordination), Joanne Miller (UCORP analyst)