

UNIVERSITY COMMITTEE ON RESEARCH POLICY
Monday, June 14, 2021

Meeting Minutes

I. Agenda Review, Chair's Announcements and Approval of Meeting Minutes

Richard Desjardins, UCORP Chair

Karen Bales, UCORP Vice Chair

Chair Richard Desjardins reported that he and Vice Chair Karen Bales had joined the Multicampus/Systemwide Research Review Working Group for its first two meetings. Members include five Vice Chancellors of Research, VP Theresa Maldonado and staff from the Office of Research and Innovation, and the UCORP chair and vice chair. The group is planning the re-establishment of the "Council on Research" and discussing the scope of that group, including whether it will address strategic planning and funding sustainability. The new Council on Research is expected to be established in the fall.

UCORP members discussed updating the requirements for reviews of systemwide groups. An optimal process would balance the need for thoroughness with administrative and overhead burden. An overly onerous review will only serve to turn projects away. A tiered review approach, based on purpose and other factors, might be the best way forward.

An example of the challenges of multicampus entities at the University of California is the UC Observatory, which was reviewed by UCORP last year using the process outlined in the "Compendium." It is globally recognized, used by at least six UC campuses that have world-class astronomy departments, and is a top-tier resource for UC, but it is chronically underfunded.

UCORP members asked about the possibility of doing more systemwide research seminars. Now that everyone is accustomed to joining meetings and classes remotely, the technology can be used to foster information sharing UC-wide. Last week, for example, UCOP hosted the first in series of symposia on the topic of wildfires. Word got around and participants joined from the around the country, including news organizations. Faculty have asked for additional topics.

[Meeting minutes from April 12, 2021 were approved via email after the meeting.]

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

Theresa Maldonado, Vice President for 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, RPAC

Phil Harman, Federal Governmental Relations

• Updates from the Vice President for Research & Innovation

The Regents Working Group on Innovation Transfer and Entrepreneurship presented its report¹ to the full Board of Regents at the May meeting. The recommendations focus on intellectual property and the approach to innovation at UC. The next step will be the formation of a group to work on implementation and coordination with UC Legal and other stakeholders.

¹ <https://regents.universityofcalifornia.edu/regmeet/may21/g1attach.pdf>

- ***Update on U.S. Innovation and Competition Act (formerly Endless Frontier Act)***

Federal Government Relations Director Phillip Harmon joined the meeting to talk about the “U.S. Innovation and Competition Act,” a science and technology funding bill passed with bipartisan support by the United States Senate. A version of it will need to pass the House to be signed into law. The bill provides billions of dollars in funding to NSF, much of which is earmarked for a new directorate. Additional billions are allocated for DOE, DARPA and others. But the bill also includes research security provisions that create multiple administrative burdens for academic institutions and researchers that are related to conflict of interest and conflict of commitment. UC’s Office of Federal Government Relations (FGR) is working with the California Senators and their staffs to push back against some of the requirements, which include review of all foreign agreements valued at \$1million or more, creation of a publicly available database of all faculty or staff who receive funding from a foreign entity, and State Department authority to deny HB1 visas to any foreigner suspected of intending to steal intellectual property.

In addition to working with Senators, UC is working with national university organizations such as AAU, and COGR on a unified response. The UC Vice Chancellors for Research will send a letter on behalf of UC. Director Harmon said that the comparable House bill also includes \$52 billion for microelectronics and that UC Centers are preparing to position themselves to receive the funding. The scale of China’s revenue from microelectronics patenting is dramatically larger than the U.S.; manufacturing has been moving to China for decades.

Chair Desjardins noted that this bill helps to highlight the strategic aspects of UC research that have been lacking, such as positioning UC to best take advantage of the potential funding.

- ***Foreign Influence Update***

An outcome of the UC Office of Ethics, Compliance and Audit Services (ECAS) audit related to “foreign influence,” is that UCOP units have been charged with various aspects of oversight and implementation. The Office of Research Policy Analysis and Coordination (RPAC) was tasked with providing guidance for investigations of undisclosed activity and how to deal with faculty who do not provide timely and accurate information. Representatives from various UC stakeholder groups, including systemwide Senate and campus faculty, have been recruited to develop draft recommendations. Many campuses have already implemented practices, but the campuses are concerned about resources needed for the additional required work. Final recommendations from the various task groups will be sent to ECAS by June 30, 2021.

The Office of Research and Innovation has also separately convened a group that is working on broad guidance for faculty on reporting conflict of interest and will produce recommendations later in the year. This will include dealing with changes to NIH requirements. The UC campuses are working with partners at AAU and COGR on standardizing formats.

UCORP members expressed concern that “foreign influence” was persistently framed as negative. The term is used as a short-hand for a certain negative activities, but it shouldn’t negate the fact that the influence of people and ideas from foreign countries can also be positive. Any materials distributed from the UC administration should use more precise wording and should focus on specific types of research that is higher risk.

- ***Updates from UC Research Grants Program Office***

- MRU reviews for next year

UCORP is the lead committee for two MRU five-year reviews next year, and will coordinate with UCPB and CCGA on a review report. Self-reports from the two MRUs are due in late September, with the formal Academic Senate review process launched in November.

- Lab Fees Research Program update

Thirty-eight letters of intent have been received for this year’s Lab Fees Research Program’s Collaborative Research and Training (CRT) awards. UCORP provided input to the three thematic areas for this year. Prospective PIs will be invited to a webinar for more information. Full proposals for CRT awards are due in

August. This year twenty-four letters of intent (LOIs) were received for the in-residence graduate fellowship. Full proposals for that award are due in September.

UCORP and the consultants discussed the MRU review process and what changes might be needed going forward. There is general agreement that all multi-campus entities should undergo some kind of review, but the process could be streamlined and aligned with the MRU size and budget situation. One role for UCOP staff is to help multi-campus entities be ready to compete for federal funding. Also noted was that humanities groups have different needs from STEM-based MRUs. Humanities organizations generally need resources for development and leveraging outside funding.

UCO (UC Observatories) or ITS (Institute for Transportation Studies) might make a good case study for a revised MRU review process.

III. Consultation with the UC Division of Agriculture and Natural Resources

Glenda Humiston, Vice President, ANR

Darren Haver, Water Resources/Water Quality Advisor and Director of South Coast REC and UCCE Orange

- ***ANR Introduction***

UC's Division of Agriculture and Natural Resources (ANR) goes back to the original land grant mission of the university and as such receives federal support under the Morrill Act. The funding is allocated to the State and distributed to ANR facilities statewide including UC campuses. Berkeley, Davis, and Riverside were the original Agricultural Experiment Station campuses, but there is now systemwide involvement and cooperative extensions at Merced, Santa Barbara, and Santa Cruz. ANR's mission extends beyond agriculture to related topics such as nutrition, healthy living, and science literacy for youth and adults. ANR has a presence in every California county. Its cooperative extension specialists work on campuses and also out in the field.

- ***Hub for Urban Living***

South Coast REC (Research and Extension Center) Director Darren Haver described the concept of a new "Hub for Urban Living" that is now being discussed within ANR and with faculty, VCRs, and potential partners. The idea for the Hub is a physical and virtual center in Southern California that facilitates partnerships between UC and other educational institutions, the private sector, and government agencies, bringing together a network of professionals focused on critical issues related to sustainable urban living. Offerings would include "upskilling" opportunities and employment networks. Irvine's Research and Extension Center is in a densely populated area in Orange County. It deals with issues of water, forestry, and human/wildlife interaction. Interconnecting disciplines could together address larger issues such as climate change, community engagement, economic development, and diversity, equity and inclusion.

In discussion, UCORP members asked about faculty member engagement. VP Humiston noted that ANR was recently part of a \$20m federal food grant that included other universities and the USDA agricultural research service. ANR continues to work toward more multi-partner, multi-disciplinary teams. UCORP members were impressed by the hub idea and with ANR's leadership in developing it. Some UCORP members offered suggestions for rewording topics (e.g., "human/animal interactions in urban settings" rather than "pest management"), and for communications to be disseminated at the dean or school level to ensure the broadest coverage in all disciplines. Discussion also briefly touched on whether UC faculty are appropriately incentivized to develop working technologies and applied research. Vice Chancellors at UCLA and UCSD are active nationally via APLU in fostering implementable cooperative research.

IV. Academic Senate Leadership Update

Academic Council Vice Chair Robert Horwitz provided an update on the issues facing the Academic Senate. Vice Chair Horwitz is co-chairing a working group focused on mitigating the impact of Covid-19 on faculty. The other co-chair is UC Davis Provost/EVP Mary Croughan, a former Senate Chair. The group plans to

have recommendations for the fall. The recent faculty survey on remote instruction – a follow-up to last spring’s survey – received 4,300 responses that will be used to inform the working group. Early responses from the survey showed that while the vast majority of faculty did not like remote teaching, a not-insignificant percentage appreciated the relief from commuting.

The Board of Regents met in May and reviewed the report of the Working Group on Innovation Transfer and Entrepreneurship. There is some interest in moving certain decisions around intellectual property to the campus administrations. However, the Academic Senate leaders have made it clear that any decisions around promotion and tenure reside with faculty. An implementation committee will be convened later in the year. The Regents also discussed cohort-based tuition, which keeps tuition constant for students and ties increases to inflation.

There was an impromptu discussion at the Regents’ meeting about UC Healthcare affiliations after the presentation of the UC Health strategic plan. UC’s affiliations with Catholic hospitals is the topic of a half-day meeting on June 23rd.

The Regents also spent some time discussing UC admission of transfer students, which is an ongoing topic. Although UC has met its target, there seems to be a lingering impression that UC is not doing enough to facilitate transfers from Community Colleges. The data show that transfer students might need an extra quarter to complete their degree, but otherwise do as well as students who started as freshmen. UC cares about accessibility, but also about students having the preparation that will allow them to succeed.

UCFW met with representatives of Chegg and Course Hero, websites that upload intellectual property and compromise academic integrity. Faculty have had to deal with this individually, but the Academic Senate is asking UC Legal to take an institutional stance. The UC Legal staff is preparing some options.

The UCOP sponsors of the proposed policy for small business procurement joined the Academic Council meeting in May to defend the policy. Academic Council asked for a 1-page “who to call on your campus” document for faculty who need more information or want to get an exemption. Responses to the formal review of the proposed policy indicated that it will present an additional burden to faculty. Any significant consequences should be monitored and the policy reviewed at some point.

The climate crisis remains a high priority of the Academic Senate. Faculty discussion and ideas funnel up to the administration via the UC Global Climate Leadership Council (GCLC), a joint committee. The Academic Council Chair and Vice Chair are talking to campus leaders about what more can be done within the Academic Senate.

There is discussion of appointing the chair of the Academic Council as an ex officio member of the ANR Governing Council.

The question of whether meetings will be held in person or remotely for AY 2021-22 is still under discussion. The Academic Council is planning to have one in-person meeting per quarter, with the first one in October. To encourage committee members to attend meetings in person, the systemwide Senate will offer reimbursement for overnight lodging as well as airfare for this academic year.

V. Campus Reports Round Robin

UC Irvine has appointed Hal Stern as the new Provost and EVC. Stern had an academic career at UCI as professor, dean, and vice provost. A vaccine mandate is likely for the fall, and residence halls will be at 90% capacity. Classes will be in person, although some that qualify may be held remotely.

UC Merced’s spring semester ended in May. The campus’ Office of Research is starting to allocate indirect costs back to departments, which is generating discussion. Indirect costs are handled differently on the campuses. UCORP might want to gather this information for discussion next year.

UCSD labs can now be at 100% capacity, as long as occupants stay 6 feet apart.

UCSF has no capacity limits, but participants have to respect 6ft limit. Vaccines will be mandated starting in July, with few exceptions. Classes will be back in person as much as possible in September. The COR is still struggling with same issues as the rest of the year, including finding out about indirect costs. Many faculty feel that it takes too long to hire someone, and it is also too difficult to let people go.

UCSB handles indirect costs via a budget oversight committee that advises the Chancellor and sets the percentage that goes to deans, others. UCSB is not yet at full capacity, due primarily to county restrictions, although restaurants have opened. The campus leaders are discussing vaccinations and how to mandate. The local COR is focusing on two major issues: One has to do with indemnification and an old policy. The other is about allocation of space in vivariums, which is seen as not equitable and there is no policy.

UCSC's COR offered feedback on the small business procurement policy. It is discussing the disposition of research notes and specimens at retirement, which involves great amount of paperwork. The committee is also discussing library access and resource differences between the campuses, including differential access to databases. This is most apparent in the arts. Classes will be back in person in the fall, with a few exceptions of large classes.

UC Davis *graduate student* Katie Uhl reported that she has been back in the lab since the fall quarter. Students graduating or moving away left room for those who needed to come in.

VI. Reports from Liaisons to Other Committees & Task Forces

- *RIMS Working Group (Michele Guindani)*

A subcommittee of the Research Information Management Systems (RIMS) Working Group has been working on organizing the next steps of the project. The group has identified key contacts on each campus and is following up on the data received. Topics to be addressed by the end of the summer are how the systems are used (e.g., for promotion and tenure, program reviews, other ways), faculty awareness of the systems, and what party vendors can do with the data. Of the 31 reported systems, about 10-15 were commercial systems.

- *ANR Task Force/Animal Research (Karen Bales)*

Members of the ANR Task Force are extremely enthusiastic and want to continue their work. But an ongoing task force may not be sustainable. One suggestion is for Governing Council members to interact with UCORP. UCORP members proposed asking VP Humiston how she foresees fostering collaboration between the faculty and ANR.

- *Animal Research Working Group (Karen Bales)*

The Animal Research Working Group is collecting data about revenue and protocols in order to develop a complete picture of UC's animal research enterprise. The group, which includes a member of the general public, will then draft a white paper that also addresses the importance of the work.

VII. Executive Session/Committee Wrap-Up for the Year

UCORP members briefly discussed ideas to carry into next year, including:

- Remote learning for graduate level seminars (not necessarily courses for credit)
- Try to retain some of the benefits of remote conferences and paper presentation. These can allow a window into specialized work done elsewhere.
- Continuing to work on breaking down the UC siloes to foster inter- and multi-disciplinary collaborations.
- Create an MRU that hosts a database of UC shared resources that includes software, database access, library resources, monograph and article publishing subventions, data storage, and NDA and license policy language. This MRU would be supported by MOU fees from participating campuses, which would also pay for insurance to limit the liability of tool and software users.

Meeting minutes prepared by: Joanne Miller, UCORP analyst
Attest: Richard Desjardins, UCORP Chair

Meeting participants:

Committee Members: Richard Desjardins (Chair), Karen Bales (Vice Chair) Michele Guindani (Irvine), Marco Iacoboni (Los Angeles), Kara McCloskey (Merced), Hai Che (Riverside), Tannishtha Reya (San Diego), Lea Grinberg (San Francisco), Forrest Brewer (Santa Barbara), Paul Roth (Santa Cruz), Katie Uhl (Graduate Student, UC Davis), Daniel Halpern-DeVries (Undergraduate Student, UC Santa Cruz), Robert Horwitz (Academic Council Vice Chair)

Consultants, Guests, and Staff: Theresa Maldonado (Vice President for Research and Innovation), Bart Aoki (Executive Director, Research Grants Program Office), Kathleen Erwin (Director, UC Research Initiatives), Deborah Motton (Executive Director, Research Policy Analysis and Coordination), Janna Tom (Director, Research Policy Analysis and Coordination), Phil Harman (Director, Federal Governmental Relations), Glenda Humiston (Vice President, ANR), Darren Haver (Advisor and Director of South Coast REC and UCCE Orange), Joanne Miller (Committee Analyst)