

UNIVERSITY COMMITTEE ON RESEARCH POLICY
Monday, February 11, 2019

Meeting Minutes

1. Chair's announcements, approval of minutes

UCORP Chair Andrew Baird reported that with the departure of Kim Budil, the Vice President for the National Labs, Associate VP Craig Leasure will be serving as interim VP. Leasure was recently hired at OP after a long tenure at Lawrence Livermore Lab.

Chair Baird will follow-up with Vice President for the Division of Agriculture and Natural Resources Glenda Humiston about naming someone who could join UCORP meetings on a more regular basis. In January, VP Humiston proposed that ANR Associate Vice President Dr. Wendy Powers join UCORP meetings more frequently to provide ANR updates.

The Committee on Planning and Budget (UCPB) has a designated Task Force on Agriculture & Natural Resources (TFANR) that the UCORP Chair Andrew Baird serves on. In addition to fiduciary concerns, the charge of the Task Force charge includes the intersections of the academic and outreach missions of ANR with the broader academic and outreach efforts of the University. It also looks at research interactions. The current chair of the Task Force is interested in exploring whether the scope should be expanded to include more about research and the membership expanded to include more UCORP members.

UCORP's letters on the politicization of science and the revised vehicle policy were sent to Academic Council.

Meeting minutes from January 14th UCORP meeting were approved.

2. Consultation with the Office of the President – Provost and Office of Research and Graduate Studies (ORGS)

Michael Brown, Provost and Executive Vice President

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

Lourdes DeMattos, RPAC Associate Director

Joao Pires, Costing Policy and Analysis Manager

1. Cal-ISIs

Vice President for Research and Graduate Studies Art Ellis alerted UCORP that UCOP is considering a review of the Cal-ISIs (California Institutes for Science and Innovation) and asked for UCORP's input into the process. The four institutes receive a total of \$16 million of state funding, of which approximately \$4 million goes through UCOP and the rest coming from campus contributions. The Cal-ISIs were established twenty years ago under Governor Gray Davis and were last reviewed in the "[Research Portfolio Review Group](#)" of 2013-14. At the time, there was no notion that the funding would continue indefinitely and it was expected that funds would be re-competed. VP Ellis wanted to

explore with UCORP about whether and how to review the Cal-ISIs. They are not technically MRUs, but the [2017 State Audit of UCOP](#) raised the question of review and oversight of multicampus programs. The campus EVCs and Vice Chancellors for Research have also discussed what a potential future for these entities would look like.

UCORP members discussed the competing needs of funding worthwhile ongoing entities alongside enabling the establishment of new initiatives and programs. Provost Brown said that he would not pull funding from the research enterprise to help fund student enrollment. Research at UC needs more investment and funding, whether from the State or elsewhere. UCORP would be interested in finding out whether the Cal-ISIs could be self-supporting, and what their other options would be.

UCORP members appreciated the introduction to this potential upcoming issue, and are looking forward to continued communication with UCOP.

2. Tiger Teams update

The two “tiger teams” that were convened by President Napolitano to investigate foreign influence concerns around international agreements and international students have sent their recommendations to President Napolitano. They have been sent to the campuses and will be circulated systemwide. The reports recommend that UC locations follow processes and rules that are already in place, and that faculty are sensitive to the needs of the current environment when sharing their work.

A recently released DOE memo about restrictions around foreign nationals in specific fields may prompt UCOP to re-open the proposed “openness in research policy” that was floated a few years ago. The policy reiterates UC’s stance on open dissemination and no publication restrictions, but would also open the door for the first time to restricted work. There is a fear that UC researchers are left out of federal funding due to university policies.

3. Composite Benefit Rate

Joao Pires, UCOP Costing Policy and Analysis Manager, joined the meeting to answer questions about UC’s “Composite Benefit Rate.” In 2014, UC approved nine standard benefits rates (including exempt, nonexempt, health science comp, post-doc, partial, no eligibility, etc.). In addition, campuses were allowed to customize four additional rates to individual situations. A memo from May, 2014, provided guidelines for campus administrators, including how to mitigate situations where rates had gone up significantly using a special fund. Each campus implementing composite benefit rates should develop a mitigation plan using their flexible rates.

At UCLA, the adoption of UCPath caused some overcharges that were subsequently corrected. At UC Davis, where composite benefit rates have been in use for years, the campus had an appeals process where folks could ask for help. UCOP will produce a chart showing each rate, but each campus should have it posted.

Action: UCORP will write a letter to Academic Council Chair Robert May to alert the Divisional chairs that campuses may have dropped their mitigation responsibilities. UCORP members can ask their campus CORs to bring it back to the VCR’s attention.

3. Issues Under Systemwide Review

- [Proposed Presidential Policy on Open Access for Theses and Dissertations](#) Comments due March 13, 2019)

UCORP will not submit comments on the proposed policy.

4. Academic Senate Leadership Update

Kum-Kum Bhavnani, Academic Council Vice Chair

Elsevier negotiations are proceeding week by week. The Academic Council has a letter ready to distribute if negotiations fail. Meanwhile, John Wiley & Sons has signed an agreement with Germany, which has led Elsevier back into negotiations with Germany.

Academic Affairs: After the departure of the Vice President for Student Affairs and the announced retirement of Vice President for Research and Graduate Studies Art Ellis, the Provost has said that he will undertake a review of the overall structure of the Academic Affairs Division before forming search committees. As part of the follow-up to last year's "Huron Report," Research Grants Program Office (RGPO) is also undergoing a review.

Office of the National Laboratories: The search committee for VP for the Office of the National Laboratories will have Senate representation from ACSCOLI (the Academic Council Special Committee on Laboratory Issues).

Standardized testing Task Force. Former BOARS Chair Henry Sanchez is chairing a task force to examine the role of standardize testing in undergraduate admissions. An interim report is due in June.

Academic freedom for non-faculty academic appointees: Academic Council Chair Robert May is chairing a task force charged with developing a policy that would provide librarians and other non-faculty academic appointees with the rights and responsibilities akin to the "academic freedom" of Senate faculty.

Self-supporting programs: The Academic Council is planning a preliminary look into self-supporting programs (SSPs) that will be led by the Academic Senate Committee on Planning & Budget (UCPB) and Coordinating Committee on Graduate Affairs (CCGA). Issues include accounting for public resources, teaching staff, and more. UCORP is also interested in this topic and a subcommittee will convene to discuss UCORP's specific concerns around research and research capacity.

Transfer from community colleges: The Transfer Guarantee Task Force has released a [Proposed UC Transfer Admission Guarantee](#) for Senate review. The work was a result of an MOU signed by UC President Janet Napolitano and the California Community Colleges Chancellor Eloy Ortiz Oakley.

5. Interview with UCHRI Director and Associate Director

UC Humanities Research Institute (UCHRI) Director David Theo Goldberg and Associate Director Kelly Brown joined UCORP for a discussion of UCHRI and the Five-Year MRU Review

UCHRI was founded in 1987 by UC David Gardener. It ended up in Irvine after a systemwide competition. Director Goldberg said that many great projects and outcomes have come from UCHRI, including national centers for humanities (see the [UCHRI website](#) for more details). The residential research groups are considered a centerpiece of the Institute and illustrate its interdisciplinary and collaborative work. Competitive funding is distributed across the system. All campuses receive a base amount of funding for multicampus work; each campus except for UCSF and UC Merced receives \$30 million. UCSF receives \$15 million. UC Merced's portion is currently \$15 million but will grow as the campus grows.

In 2008, when UC funding changed to the current competitive structure, UCHRI applied for and received a five year Multicampus Research Programs and Initiatives (MPRI) award. Since then, the award period of the MPRI changed from five years to four years to the current two-year period.

Director Goldberg talked about the structure and programs of UCHRI, which is guided by a Board of Governors (faculty and non-UC members) and an Advisory Committee composed of Deans or their designees. The Board meets once per year, while the Advisory Committee meets a minimum of twice per year. Until 2009, all nominees for the Board were vetted by UCOP. Now members are selected locally. There is no requirement for all campuses to be represented, but an effort is made for reasonable distribution. Goldberg suggested that OP might want to be more involved in the process in the future.

Describing itself as a “research infrastructure,” the Institute holds conferences, working groups, seminars, and public humanities-related activities. Digital humanities has become a big area. In one of the grant competitions, faculty work together on a designated theme and come out with a product such as a book, edited volume, special issue, etc. In addition to UC funding, UCHRI receives revenue from an array of foundations and agencies. The Mellon Foundation has become a major supporter.

UCORP members discussed the consequences of cuts to MRU funding, and how to maintain a healthy competition and foster new ideas without undermining an ongoing successful enterprise. The group noted that the value provided by UCHRI is in the pressure and incentive to produce systemwide engagement and multicampus collaborations. Without it there would be less interaction. There are ongoing concerns about funding and maintaining the quality of the Institute; two years of MRPI funding is not efficient. Funders are interested in seeing support from UC.

Director Goldberg is finishing the second year of his second five-year term, at which point a new director will need to be hired. The search will be on a national basis for a senior leader, and Goldberg offered to provide a list of necessary qualifications and skills.

6. Executive session – MRU follow-up discussion – Next steps

- A small group of UCORP members will convene before the next meeting to discuss research implications of self-supporting programs and develop a list. A discussion of self-supporting programs will be added to the March agenda.
- In March, UCORP will return to the chart of all systemwide multicampus entities provided by ORGS. The committee will continue to discuss potential recommendations for MRUs, including perhaps some basic level of funding.
- The two MRU Review subcommittees will finalize their reports and circulate the drafts to the full committee. The CCGA and UCPB liaisons will circulate the report with their own committees.

Meeting adjourned: 4:00pm

Meeting minutes prepared by: Joanne Miller, UCORP analyst

Attest: Andrew Baird, UCORP Chair

Members attending in person: Andrew Baird (Chair, SD), Nasrin Rahimieh (Vice Chair, I), Karen Bales (D), Jeffrey Barrett (I), Richard Desjardins (LA), KK Ramakrishnan (R), Brian Eliceiri (SD) Stuart Gansky (SF), Harry Nelson (SB), Jarmila Pittermann (SC), Kum-Kum Bhavnani (Academic Senate Vice Chair), Tejasvinee Mody (Graduate Student Representative, UCR)

Members participating remotely: Irina Conboy (B), Michael Scheibner (M), Harry Nelson (SB)

Consultants, guests, and staff: Michael Brown (UCOP), Arthur Ellis (UCOP), Bart Aoki (UCOP), Kathleen Erwin (UCOP), Emily Rader (UCOP), Lourdes DeMattos (UCOP), Joao Pires (UCOP), Gina Dent (CCGA liaison for the UCHRI Review, via video), David Theo Goldberg (UCHRI Director), Kelly Brown (UCHRI Associate Director), Joanne Miller (Committee Analyst)