UNIVERSITY COMMITTEE ON RESEARCH POLICY
Monday, October 2, 2023

Meeting Minutes

I. Welcome and Introductions
UCORP Chair Cynthia Schumann led introductions and described the work of the committee.
Anticipated topics/activities for 2023-24 include:

- Graduate Students and the Future of Doctoral Programs at UC.
- Patent policy (anticipated review of revised policy).
- MRU Review of UC Humanities Research Institute (UCHRI)

A UCORP member serves as a liaison to the Academic Council Special Committee on Laboratory Issues (ACSCOLI). If any member would like to volunteer, they should let the committee analyst know. UCORP also needs someone to serve on the Research Data Backup System Steering Committee.

II. Academic Senate Leadership Update
Academic Council Chair Jim Steintrager and Vice Chair Steven Cheung joined the meeting to provide an overview of current activities of the Senate. The chair and vice chair were asked to first talk about "shared governance" and what that means at UC. Per Regents policy, there are areas of delegated authority that are mostly related to admission and graduation requirements – "who gets in and who gets out." For all other issues, the Senate has consultative rights and provides input into administrative decision-making.

Provost Newman will join the UCORP meeting next month, and the committee asked for input from the Council chair and vice chair in preparing for the discussion. Provost Newman is planning a series of academic "congresses" for the year. The first one, focusing on the future of graduate studies, is next Monday at UCLA. One of the sessions will feature the preliminary report from a joint Senate/Administrative workgroup that UCORP Chair Schumann is a member of. The next congress will focus on AI, and the following one will be on online education. Chair Steintrager noted that faculty should be involved in the planning of these events in the interest of shared governance.

Provost Newman is interested in presenting research topics to the Regents, and so research-related items will likely be on the agendas of upcoming sessions of the Regents' Academic and Student Affairs Committee (ASAC).

The Regents' Special Committee on Innovation and Entrepreneurship recently concluded its work and will be replaced with a President's Entrepreneurship Network Council. The Special Committee provided oversight to progress on recommendations from a May 2021 report of a Working Group on Innovation Transfer and Entrepreneurship. One of the recommendations was replacing UC's patent tracking system, which is well underway. Other recommendations were to revise UC's Patent Policy (last updated in 1997), augment proof-of-concept funding, and establish better metrics for measuring the impact of UC's innovation transfer efforts. UCORP might want to inquire about how faculty might participate on the President's Entrepreneurship Network Council.

The Academic Planning Council, an ongoing joint administrative-Senate committee sponsored by the Provost, currently has two workgroups: one on the Future of UC Doctoral Programs and the other on Faculty Recovery Post-Pandemic. The Doctoral Programs group, co-chaired by UC Santa Barbara Senate Chair Susannah Scott and UCI Vice Provost for Graduate Education Gillian Hayes, will release its preliminary report soon. The faculty post-pandemic workgroup will focus on regaining the balance of teaching, research, and service. During and post-pandemic, much faculty work was shifted to instruction, often to the detriment of research.

Later this year UCORP members might hear more about ideas for expanding the research funding by allowing UC to accept funding that comes with publication or citizenship restrictions. For short, this is called "restricted research," and there is usually a national security concern that necessitates the restrictions.

UCORP will also learn more about post-strike efforts to help distinguish graduate students' work for pay from academic progress, while acknowledging that different fields have different needs (e.g., TAs and GSRs). UCORP will continue to have an interest in postdoc and graduate student employment agreements and their impacts on research.

III. Consultation with the Office of the President – Office of Research and Innovation
The Research and Innovation (R&I) administrators joined the meeting to introduce their work to new UCORP members and update the committee on recent activities. VP Theresa Maldonado gave a short presentation on R&I, demonstrating how the unit works not only with the ten campuses, but also with the Division of Agriculture and Natural Resources (ANR), UC Health, and the 3 national labs. In addition to policy development and management, part of the R&I mission is to help campuses take fundamental research and scale it to demonstration, publication, and public use. R&I manages $150m in royalty income and $120m in grant funding (not including the climate funding). The unit also oversees the university's multi-campus research entities and seven multicampus research units (MRUs).

R&I is also engaged in large scale-scale research initiatives. Last year, after holding statewide wildfire symposiums, the university received $185m from the state to be used for climate research funding. A portion of the funds - $1m each - went to the ten campuses and two California national labs. The remainder was competed as seed and matching grants for California entities. The 38 grant awardees were recently announced.[1] More local stories about the awards and the impact of the funding will be forthcoming from campuses over the year. VP Maldonado noted that after the funding was announced, the Strategic Growth Council (within the Governor's office) contacted UC and offered 250k to supplement grants that had strong community engagement aspects. UC is now awaiting news regarding the DOE's Hydrogen Hub Initiative, which will use funds from the new infrastructure law to provide funding for regional clean hydrogen hubs. In addition, R&I is launching a new initiative for "Inclusive Innovation Equitable Entrepreneurship" (I^2E^2), which will focus on long-standing structural impediments to the participation of ethnic and racially minoritized groups, women, and persons with disabilities in STEM. A key element will be developing a database to help uncover who is involved in innovation and entrepreneurship activities.

Associate Vice President Scott Brandt briefly talked about the DOE's Hydrogen Hub project and UC's involvement as the leader of a large partnership of organizations and companies within California. The group submitted a $1.25b proposal that focuses on ports, power, and heavy-duty transportation. The DOE seeks to establish a carbon-neutral domestic fuel source for US consumers.

Asked about her priorities for the year, VP Maldonado mentioned multicampus research entities and figuring out how to provide consistent oversight to those that are not guided by the Compendium,[2] such as the Cal-ISIs. The other big ongoing issue this year is tech transfer and innovation, and efforts to increase faculty involvement in big items such as the patent tracking system.

- *Patent Policy revision update*
Policy Manager Felice Lu described the process of revising the 1997 Patent Policy and how the comments received during the spring systemwide review were taken into consideration for a next draft. The draft revised policy that was reviewed in the spring should have been accompanied by an FAQ and additional background about the changes that were made. The lack of clarity led to some misunderstandings of the revision, including confusion about the 15% research share that is supposed to be reinvested in campus research, whether royalties

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[1] https://uckeepresearching.org/climate-seed-and-matching-awards-announced/
[2] https://www.ucop.edu/institutional-research-academic-planning/content-analysis/academic-planning/compendium/

would be distributed to heirs, successors or assigns, and what type of work was exempted. Faculty from UCI and other campuses were concerned about the expansion of scope in the definition of intellectual property.

IV. Systemwide Review Items (https://senate.universityofcalifornia.edu/under-review/)

Committee members discussed how to best provide comments on the systemwide items under review, acknowledging that not all items need to be commented upon by UCORP. The policies are distributed via campus channels as well as systemwide committees, so there are multiple paths for response.

Committee members were asked to review the three items with comments due in December in order to discuss at the November meeting. UCORP will not comment on the Policy on Affiliations.

Action: Members are asked to review the three items with comments due in December.

V. Round Robin of Reports from the Campuses
Committee members were asked to report on the issues facing their local Committees on Research and other research-related campus news. Several of the campus CORs hadn't yet met at the time of the meeting.

UC Berkeley: UCB is dealing with the consequences of the graduate student union agreement and determining how to distinguish education from salaried work. The administration is asking departments for documentation about their plans. There has been a decrease in graduate student enrollments, and many faculty feel uncertain about having sufficient funding going forward. UC Berkeley is also working on reducing bureaucracy and dealing with electricity issues that will necessitate finding more efficient computing solutions.

UC Davis: UC Davis is interviewing for a new VC-R and will soon hire a new Chief Innovation and Economic Development Officer. Faculty are concerned about financial and relationship implications of the graduate student union agreement.

UC Irvine: UCI's local committee (which also encompasses libraries and computing) will be working on refining its process for reviewing (and sunsetting) local centers and ORUs, and looking at UC's use of the faculty and student data collected by course management systems. Faculty are concerned about the future of graduate student education and trying to get more information on what may be changing.

UCLA: UCLA's COR will be looking into strengthening the relationships and engagement with the VC-R, among other issues as the quarter gets underway.

UC Merced: The local committee is revising its policy on reviewing centers and ORUs. It is focused on the future of graduate student education and support. The Oracle financial system continues to plague the campus, with ongoing incorrect balances reported. The system requires manual entering of long number strings. Another topic at UCM is around challenges in funding for core facilities.

UC Riverside: When COR meets it will be discussing increases in graduate student salaries and how that impacts students that are supported by Graduate Division fellowships in the first year. Acceptance and hiring letters will likely need to be reviewed and revised. UCR has increased the number of undergraduate students, so more TAs are needed. One solution has been to hire masters' degree students in addition to doctoral students.

UC San Francisco: Post-strike, UCSF is focused on improving the post-doc and graduate student experience. The campus provided funding for salary increases in the first year. There is a special dean position for graduate student and post-doc hiring, and an effort to ensure transparency in hiring. In the coming year, the local committee will continue to discuss consequences of last year's strike.

UC Santa Barbara: UCSB is having issues with the hiring and retention of research staff. This is thought to be due to the high cost and shortage of housing in the Santa Barbara area.

UC Santa Cruz: COR will be working on issues arising from strike and what steps to take around oversight of the large number of research centers that have arisen. Centers are easier to establish than ORUs and have no formal review process.

Meeting adjourned: 12:35
Meeting minutes drafted by: Joanne Miller, Committee Analyst
Attest: Cynthia Schumann, UCORP Chair

Meeting participants:
Cynthia Schumann (Chair), Susanne Nicholas (Vice Chair), Larry Karp (Berkeley), Paul Hastings (Davis), James Weatherall (Irvine), Alapakkam (Sam) Sampath (Los Angeles), Tao Ye (Merced), Weixin Yao (Riverside), Bin Liu (San Francisco), Alan Murray (Santa Barbara), Michael Hance (Santa Cruz), Adam Tfayli (Undergraduate Student, UCLA), Hanna Butler-Struben (Graduate Student, UC Davis), James Steintrager (Academic Council Chair), Steven Cheung (Academic Council Vice Chair), Joanne Miller (Committee Analyst), Theresa Maldonado (Vice President for Research and Innovation), Scott Brandt (Associate Vice President for Research and Innovation), Kathleen Erwin, (Executive Director, Research Grants Program Office), Lourdes DeMattos (Director, Research Policy Analysis and Coordination), Agnes Balla ((Director, Research Policy Analysis and Coordination), Felice Lu (Research Policy Manager), Ellen Auriti (Senior Principal Counsel, UC Legal), Kimberly Jones-Ross (Interim Executive Director, Innovation Transfer & Entrepreneurship).