Committee on Research
Penny Brennan, PhD, Chair

ANNUAL REPORT
2022-2023

Primary Focus Points for the Year:
- Faculty Research Lecture (FRL) Categories
- UAW Strike Recovery and Improving the Postdoctoral Experience
- Innovation and Entrepreneurship Policies
- Shared Governance for Organized Research Units (ORUs) and Non-ORU Centers
- Chancellor's Bridge Funding Program
- NIH Diversity Supplements

Task Forces, Special Committees, and Subcommittees:
- Resource Allocation Program Executive Committee – Penny Brennan
- Research Advisory Board – Vanessa Jacoby
- Office of Sponsored Research Advisory Board – Bin Liu
- Compendium Subcommittee – Penny Brennan, Susanne Mueller, and Kartika Palar
- COVID Faculty Support Committee – Jeroen Jansen

Issues for Next Year (2023-2024):
- Long-term Impacts of the UAW Strike on Researchers
- Pandemic Research Recovery
- Shared Governance for Organized Research Units (ORUs) and Non-ORU Centers
- Processes that Affect Researchers (e.g., Human Resources, Institutional Review Board)

2022-2023 Members

Penny Brennan, Chair	Sheri Lippman
Vanessa Jacoby, Vice Chair	Bin Liu
Mary Helen Barcellos-Hoff, UCORP Rep	Melissa Medvedev
Mehrdad Arjomandi	Susanne Mueller
Mallar Bhattacharya	Kartika Palar
Andrew Bishara	Julie Sneddon
Myriam Chaumeil	Liz Whitlock
Daniel Fried	Kristine Yaffe
Jeroen Jansen	

Number of Meetings: 9
Senate Analyst: Liz Greenwood

Systemwide Business & Reviews

UCORP

Mary Helen Barcellos-Hoff reported on the work of the systemwide University Committee on Research Policy (UCORP). This year UCORP discussed topics including the UAW strike and its impacts on faculty researchers, the draft UC Patent Policy and innovation transfer policies, funding for strategic climate initiatives, research security, the UC Natural Reserve System, animal research transparency, and the Lab Fees Research Program funding competition. UCORP reviewed two multi-campus research units: the UC Institute for Mexico and the United States and the UC Institute for Transportation Studies.

Systemwide Reviews

The Committee on Research (COR) commented on one systemwide review. Those comments are summarized below.

Patent Policy: COR commented on the draft Proposed Presidential Policy on Inventions, Patents, and Innovation Transfer, which was circulated for systemwide review. COR expressed support for the policy's main aims of shifting the UC Office of the President's authority over intellectual property to campuses, expanding the policy's scope, and removing outdated procedural details. COR recommended two small changes to improve the policy's clarity: defining the scope of university employment more precisely and defining gross income received in consideration for a license or option. COR's comments are included as Appendix 1.

Divisional Business

PROCESS TOPICS

Resource Allocation Program (RAP) Grant Funding

	Total	Amount
Fall 2022 (RR)*	1	$25,000
Fall 2022	10	$424,000
Spring 2023	14	$588,000
Total	**25**	**$1,037,000**

COR Chair Penny Brennan served as the Faculty Director for the Academic Senate on the RAP Executive Committee. The Academic Senate funded 25 grants totaling $1,037,000 during the 2022-2023 RAP cycles. This total includes two Pilot Awards for Anti-racism Research totaling $60,000.

*In response to the United States Supreme Court decision to end the constitutional right to abortion, several research entities at UCSF, including the Academic Senate, issued a request for applications for UCSF Abortion Research Rapid Response Grants. The Academic Senate awarded one grant totaling $25,000 in September 2022.

Travel Grants

The Academic Senate Office, under the auspices of COR, awarded seven Travel Grants to New and Junior Faculty during the 2022-2023 academic term totaling $3,485.64. These grants are offered to faculty who have been at UCSF for less than five years to cover expenses related to conference travel.

Chancellor's Fund

The Committee awarded 35 Conference Registration and Small Grants for Researchers totaling $34,606.62 via the Chancellor's Fund. These grants can be used for travel to present the results of original research, software expenses, or publication fees.

Faculty Research Lectures

2022-2023

COR hosted two Faculty Research Lectures this year. The 2022-23 Faculty Research Lecture in Clinical Science was presented by Diane Havlir, MD on December 14, 2022, at Parnassus Campus HSW-301 and via Zoom. The 2022-23 Faculty Research Lecture in Basic Science was presented by Alexander (Sandy) Johnson, PhD on April 20, 2023, at Byers Auditorium and via Zoom. COR Vice Chair Vanessa Jacoby hosted both lectures. The lectures were well-attended; including a Zoom component enabled the lectures to reach a wide audience.

2023-2024 Faculty Research Lecture - Basic Science

Since 1957, this award has been bestowed on an individual member of the UCSF faculty with a distinguished record in basic science. Nominations are made by UCSF faculty, who consider the scientific research contributions of their colleagues and submit nominations for this prestigious award to COR. In June 2023, COR selected Andrej Sali, PhD as the recipient of the 2023-24 Faculty Research Lecture in Basic Science.

2023-2024 Faculty Research Lecture – Social, Behavioral, and Health Policy Sciences

This year, COR accepted nominations for the inaugural Faculty Research Lecture in Social, Behavioral, and Health Policy Sciences. This new award seeks to recognize the nationally and internationally significant contributions of UCSF faculty in these fields. In June 2023, COR selected Diana Greene Foster, PhD as the recipient of the 2023-24 Faculty Research Lecture in Social, Behavioral, and Health Policy Sciences.

2023-2024 Faculty Research Lecture - Clinical Science

Since 2001, this award has been bestowed on an individual member or members of the UCSF faculty with outstanding achievements in clinical research. Nominations are made by UCSF faculty, who consider the clinical research contributions of their colleagues and submit nominations for this prestigious award to COR. This Spring, COR received no nominations for this award, and no winner was selected for 2023-24.

POLICY & PROGRAM TOPICS

Faculty Research Lecture (FRL) Categories

In 2019, the Academic Senate received a letter from faculty members and EVCP Dan Lowenstein requesting that a fourth FRL be created to recognize work in areas related to social, population, and health policy sciences. In 2020, COR voted to maintain the same slate of FRLs, representing basic, clinical, and translational sciences, and to add wording to make the call for nominations more welcoming to applicants in the social, population, and health policy sciences. In academic year 2021-22, COR formed a subcommittee that revisited and endorsed the creation of a new FRL category to recognize UCSF researchers' achievements in social, behavioral, and health policy sciences. In May 2022, COR voted to add a fourth category titled "Social, Behavioral, and Health Policy Sciences" and to hold four

FRLs per year. However, Academic Senate Chair Cheung asked that COR reconsider the latter recommendation given the administrative burden of holding four lectures per year.

In academic year 2022-2023, COR considered the subcommittee's recommendation again and discussed three options: reconfiguring the existing categories to allow for three lectures per year, holding two lectures in each year and alternating categories, or finding a way to reduce the administrative burden of each lecture, such as shifting to an online-only format. COR agreed that an in-person celebration works best and that each lecture should be held every year. COR noted that the Translational Sciences category received no nominations in the previous year, that other lectureships fold translational research into basic and/or clinical research, and that relatively fewer researchers think of themselves as primarily translational scientists. Thus, COR voted to reconfigure the existing categories to allow for three lectures per year by removing Translational Science as a category and noting in the Call for Nominations that translational researchers can be nominated for the FRL in Basic or Clinical Science, depending on which category is a better fit. Going forward, COR will host FRLs in Basic Science, Clinical Science, and Social, Behavioral, and Health Policy Sciences.

COR voted to update its bylaws to reflect the new slate of FRLs. The bylaws update was approved by the Committee on Rules and Jurisdiction, the Executive Council, and the UCSF Division of the Academic Senate. Appendix 2 provides more information about the bylaws change.

Improving the Postdoctoral Experience

COR members voted to consider ways to improve the postdoctoral experience this year because recruiting and retaining postdocs is vital to the UCSF research enterprise. COR met with Jade Moore, UCSF Postdocs Campus Chair for UAW 5810, and Zara Weinberg, Postdoctoral Scholars Association Board Member and ex officio member of Graduate Council, to learn about the challenges that postdocs face and identify opportunities for COR to advocate on postdocs' behalf.

A major challenge to recruiting and retaining postdoctoral scholars in the San Francisco Bay Area is offering competitive compensation. COR therefore responded to the NIH's [Request for Information (RFI) on Re-envisioning U.S. Postdoctoral Research Training and Career Progression within the Biomedical Research Enterprise](#) to advocate that the NIH increase its pay scales for postdoctoral scholars and reevaluate the sizes of grants. COR's full response to the RFI is included as Appendix 3.

Based on the discussion with J. Moore and Z. Weinberg, COR identified five additional institutional supports for postdocs that, in addition to higher salaries, may help with recruitment and retention:

1. Hiring a new Assistant Dean for Postdoctoral Scholars to help UCSF provide centralized resources for postdoctoral scholars, particularly in the hiring and orientation processes.
2. Increasing transparency in the hiring process.
3. Improving access to and support for childcare.
4. Providing institutional resources for building community among postdoctoral scholars.
5. Establishing small grants that faculty can use to improve the experiences of postdoctoral scholars.

COR wrote a letter to the Dean Nicquet Blake of the Graduate Division describing these recommendations. The letter was co-signed by Graduate Council and is included as Appendix 4.

Dean Blake and Vice Chancellor of Research Hal Collard subsequently requested more information regarding COR's suggestion to offer small grants for faculty to improve the experiences of postdoctoral scholars. COR proposed that UCSF pilot two types of small grants. The first, grants for informal social events, would be modeled on the Department of Medicine's DOMinos program and Community Organized Informal Networking events (COINs) within the Advancing the Research Careers of Historically

Excluded Scholars (ARCHES) program, both of which offer grants of around $500 to $1,000 to host small, informal social events. The second, grants for career development activities, would provide grants of up to $5,000 for postdoctoral scholars to participate in career development and training activities. COR's letter describing these proposed grant programs is included as Appendix 5.

UAW Strike Recovery

The UAW strike and its resolution had major impacts on UCSF researchers in this academic year. COR signed on to a joint letter with Graduate Council, the Committee on Equal Opportunity, the Committee on Faculty Welfare, and the Committee on Academic Planning & Budget highlighting some concerns with the outcomes of the negotiations and proposing solutions related to the underfunding of graduate education, equity issues, mentoring relations, and faculty welfare. Recommendations to address these concerns included setting aside funds for faculty to help absorb the increased salaries resulting from the negotiations; increasing the number of years for which UCSF covers graduate student tuition; investing in subsidized housing and affordable childcare for graduate students, postdocs, and academic researchers; and allocating financial resources to support activities to enhance faculty-student relationships. This letter is included as Appendix 6.

UCSF developed a plan to help researchers recover from the UAW strike, including lump-sum payments to cover the salary increases for basic science graduate students and postdoctoral scholars from April 2023 to August 2024 and the formation of three new committees to address the long-term impacts of the strike. COR, along with Graduate Council (GRAD), the Committee on Academic Planning and Budget (APB), and the Committee on Faculty Welfare (CFW), wrote a letter supporting this plan and requesting that representatives from COR, GRAD, and APB be included on all three committees addressing the long-term impacts of the strike. The letter is included as Appendix 7.

Entrepreneurship Policies

COR was asked to comment on a draft UCSF Policy on Managing Equity when Licensing University Technology, authored by UCSF Innovation Ventures as a new university policy. COR expressed major concerns that some aspects of the policy could have chilling effects on innovation and entrepreneurship and may lead to increased attrition if faculty cannot easily pursue entrepreneurship while employed at UCSF. COR felt that the restrictions on inventor involvement in negotiations would make it more difficult for UCSF to execute licensing agreements, as the most knowledgeable person about the invention would be removed from the discussions. COR expressed strong opposition to making Category 1 approval for inventors to hold equity conditional on executing a license, especially because the policy also excluded inventors from licensing negotiations. The rule that inventors must not serve as a director or in any executive or managerial role in a company in which they hold or expect to receive equity seemed too restrictive, as serving as a director is not typically limited to this extent by other UCSF policies. COR argued that the policy stating that the University will hold equity received in consideration for a license on behalf of the inventor may reduce incentives for faculty to participate in innovation. Finally, COR questioned the purpose of the guideline limiting inventors from performing clinical trials for companies in which the University holds equity. COR suggested numerous revisions to the policy to ensure that it can be easily understood by faculty. COR's comments are included as Appendix 8.

COR was also asked to review a new Request for Leave of Absence Without Pay for Innovation and Entrepreneurial Activity form pursuant to APM 759 and its associated Frequently Asked Questions. APM 759 was recently updated to allow leaves of absence for innovation and entrepreneurial activity. COR felt that the documents were clear but provided revisions to one frequently asked question to improve clarity.

Bridge Funding

COR members were asked to develop a proposal to modify the Chancellor's Bridge Funding Program to increase utilization and better support researchers who were impacted by the COVID-19 pandemic, in line with Recommendation 3 of the UC systemwide *Joint Senate-Administration Mitigating COVID-19 Impacts on Faculty Working Group Final Report*. A faculty survey showed that the percentage of respondents who anticipated definitely or probably applying for Bridge Funding would increase from 35% to 56% if the eligibility criteria were expanded to faculty who do not currently hold NIH R01 or equivalent awards. Moreover, 71% of respondents were in favor of such an expansion. If the criteria were amended to accommodate COVID-19 impacts that have caused delays in the submission of renewal or revised applications, 50% of respondents anticipated definitely or probably applying for Bridge Funding.

Based on the faculty's continued need for Bridge Funding, COR recommended that the Chancellor's Bridge Funding Program be extended for another five years at the current funding levels in each of the four schools. To ensure equal access to Bridge Funding, COR suggested relaxing to every extent possible the requirement that the School and Department each provide one-third of the total funds. COR also proposed that each School allocate half of its funds toward Bridge Funding, with the other half allocated toward COVID Pandemic Recovery Funding. These programs were envisaged as separate programs with separate review criteria. COR felt that the Schools should determine the eligibility criteria for these programs in partnership with their Faculty Councils but recommended expanding eligibility for the Bridge Funding Program beyond faculty with R01 or equivalent funding and defining eligibility for COVID Pandemic Recovery Funding based on need. COR's full proposal is included as Appendix 9.

COR's proposal was incorporated into a proposal from the Academic Senate that was discussed by Executive Vice Chancellor and Provost (EVCP) Catherine Lucey and the Deans of the Schools. The EVCP and the Deans agreed to extend the Bridge Funding Program at its current funding levels for another five years. Additionally, the School of Nursing agreed to change the allocation of the funds so that 70% are provided by the Chancellor and 30% are provided by the Dean, and the School of Dentistry Dean's Office agreed to provide support for faculty from Departments that cannot afford to contribute to Bridge Funding. However, the EVCP and the Deans declined to create separate programs for Bridge Funding and COVID Pandemic Recovery Funding or to expand the eligibility criteria for Bridge Funding beyond faculty with R01 or equivalent funding.

Proposed Z Payments for Researchers

COR was asked to discuss a proposal by Senate Chair Steven Cheung to create a mechanism to provide Z payments to researchers who received three or more grants at or above the UCSF portfolio median ($250K in 2019). The proposed program was designed to reward exceptionally productive researchers using a similar mechanism to the rewards currently offered to exceptionally productive clinicians. COR members expressed support for the underlying aim of the program but raised concerns that the program could increase inequity among faculty researchers by providing financial support to established, well-resourced investigators. COR suggested some alternative, potentially more equitable mechanisms to incentivize researcher productivity: returning a portion of facilities and administration (F&A) costs earned from grants directly to all funded researchers, increasing the proportion of F&A costs returned to departments, providing bonuses to researchers based on all their scholarly activities rather than just their grant funding success, or lowering the bar for qualification for research Z payments for early career investigators. COR's full comments in response to the proposal are included as Appendix 10.

Research Recovery

The Academic Senate conducted a survey to understand faculty members' COVID research recovery funding needs. Based on the survey results, Academic Senate Chair Steven Cheung presented a proposal for a UCSF Senate COVID Research Recovery Program to Executive Council. COR discussed the

proposal and agreed that UCSF faculty have a continued need for post-pandemic research recovery funding. However, COR members raised some concerns with the structure of the proposed program, which would set aside $250,000 of the Chancellor's Fund each year for three years to provide ten $25,000 grants for research recovery. COR members felt that the grants were too small to allow a researcher to fully recover and that ten grants per year were too few to warrant repurposing half of the Chancellor's Fund. Given the budget available, COR recommended instead structuring the program to provide smaller grants to a larger number of faculty. Based on the survey results, COR suggested providing small awards to faculty to use for editorial and drafting assistance for grant writing and manuscript production. Such assistance remains an unmet need for many faculty, and the awards could be incorporated in the Academic Senate's existing Committee on Library and Scholarly Communication Faculty Writing Support Fund. COR's full comments on this issue are included as Appendix 11.

Shared Governance for Organized Research Units (ORUs) and Non-ORU Centers

The Academic Senate is developing a UCSF Compendium, modeled on UCOP's "Compendium: University-wide Review Processes for Academic Programs, Units, and Research Units," to memorialize the agreements, shared understanding, and processes that govern Academic Senate review and consultation. COR was asked to vet the chapter providing guidelines for the establishment and review of ORUs and non-ORU research centers. With the exception of UCSF, all UC campuses have codified guidelines for these centers.

COR established a subcommittee, consisting of Penny Brennan, Susanne Mueller, and Kartika Palar, to comment on and suggest revisions to the draft chapter. The subcommittee made substantial revisions to the draft, modeling them on existing guidelines for the establishment and review of ORUs and non-ORUs created by three sister UC campuses. These models were chosen because they set forth thorough and fair guidelines that minimized administrative burden on ORU faculty, the Academic Senate, and campus administrators. The draft chapters were approved by COR and then transmitted to Vice Chancellor for Research Hal Collard for feedback from his office.

Research IT

The committee met with Mandy Terrill, Associate Chief Information Officer for Research (ACIOR), to learn about her plans to update research IT. The ACIOR role was created to provide a relationship between research and IT and convey research information requirements and needs to central IT. ACIOR Terrill will focus on three improvement areas: *research compliance* to enhance systems and processes and facilitate reporting; *services and support*, including data, tools, and compute resources; and *research infrastructure,* including server hosting, storage, and cloud services. The phased optimization is expected to take three to five years, and researchers will have opportunities to provide input throughout the process.

Institutional Review Board

Ed Kuczynski, Director of the Human Research Protection Program (HRPP), met with COR to discuss the Institutional Review Board (IRB). E. Kuczynski shared metrics regarding the IRB's work volumes, factors that impact review times, and satisfaction survey results. He provided updates on the HRPP's initiatives to improve service for researchers and shared that the HRPP is working on identifying a new software vendor, which will address challenges and delays and may provide new functionalities that the Senate has requested. The Clinical Trials Operations unit of the Office of Research has been partnering with the IRB, contracts, and the Office of Clinical Trial Activation to develop an integrated dashboard for study teams and administrators to track applications. It should be ready within the fiscal year.

Human Resources

COR met with Chief Human Resources Officer Corey Jackson and members of his team. They provided updated time-to-hire metrics on both the staff and academic tracks, which COR discussed with the HR team in the last academic year. The time from when a job is posted until the time that the new employee starts has fallen about five days owing to onboarding process improvements, but the time from when a job is posted to when a candidate accepts an offer has increased from 76 to 107 days. The HR team described some strategies that they are implementing to reduce this time. The HR team also responded to specific questions from COR members about the hiring process.

Office of Research

Vice Chancellor of Research (VCR) Hal Collard and Assistant VCR Winona Ward joined a COR meeting to respond to questions from COR members. VCR Collard shared that a plan is being developed to provide funding relief for investigators supporting social science graduate students who are not members of the graduate student researcher bargaining units. He also shared that the VCRs of all UC campuses are developing a strategy to advocate that the NIH and other funding agencies increase their salary caps for graduate students and postdocs. He will continue to provide updates to COR as they become available. COR asked about the status of the committees being formed to address the long-term impacts of the UAW strike and learned that they are still in progress, with updates likely in the summer. VCR Collard also shared his perspective on how his role will coordinate with the new EVCP; previously, the EVCP also served as the Vice Chancellor of Research.

COR asked Assistant VCR Ward for any updates to the COVID pandemic impact metrics that the Office of Sponsored Research shared with COR last year. The metrics initially showed no gender differences in the impacts of the pandemic on researcher productivity, but new preliminary metrics suggest that grant submissions by women may have fallen relative to grant submissions by men since then. The Office of Sponsored Research plans to conduct a more thorough analysis and present the results to COR at a future meeting. A COR member also asked Assistant VCR Ward about UCSF's policy for accounts under contract with unpaid invoices. She said that the liability for contracts and grants sits with the institution, but the financial stewardship for an individual project is handled in collaboration with the PI.

NIH Diversity Supplements

Last year, COR members raised the issue that NIH Diversity Supplements are insufficient to cover the stipends and benefits paid to UCSF graduate students but that, under the current rules, other federal funds cannot be used to bridge the gap. A subcommittee focused on this issue met with Graduate Division Dean Blake, who agreed to investigate the issue further and develop solutions. In May of this academic year, COR met with Dean Blake, who provided updates on her efforts. Members of the Research Advisory Board, which had also raised this issue, joined for the discussion.

Dean Blake found that NIH Diversity Supplements are indeed underutilized at UCSF because of the delta between the size of a Diversity Supplement and the cost of funding a student or postdoc at UCSF. This underutilization runs counter to UCSF's diversity, equity, and inclusion goals. Dean Blake, along with Olivia Herbert, Associate Dean and Chief of Staff of the School of Medicine (SOM), are developing a plan to provide financial resources to help faculty cover the delta. The goal is to have a pilot program in place by the beginning of the next fiscal year. Although this initial plan is just for the SOM, the other Schools are working on developing plans as well. Associate Vice Chancellor for Research Inclusion, Diversity, Equity, and Anti-Racism Tung Nguyen will identify point persons to provide logistical guidance to support faculty in utilizing NIH Diversity Supplements. COR members expressed appreciation to Dean Blake and Associate Dean Herbert for the urgency with which this issue was addressed.

PAMDash

Lei Zheng, the Supporting Manager for Contracts and Grants Accounting, gave COR a demonstration of the Proposal and Award Metrics Dashboard, PAMDash, which was built to help departments monitor extramural funding metrics. The dashboard is continually being updated to improve the user experience, and COR members were encouraged to provide feedback. A COR member suggested allowing users to view the names of funded projects and the associated PIs to help identify potential collaborators.

Award Verification System

Assistant Controller Ellyn McCaffrey presented to COR about the Award Verification Tool, which replaced effort reporting in 2021. Award PIs use the tool to verify payroll and other expenditures for each sponsored award at least quarterly. The Controller's Office sought feedback from COR regarding challenges with using the tool. One challenge that faculty mentioned was that the tool provides too many notifications. COR members also suggested providing more granular data in the award verification system to make it easier for PIs to double check any numbers that seem inaccurate and explaining the purpose of award verification more prominently so that faculty are more likely to comply with its use.

<div style="background:navy;color:white;text-align:center;font-weight:bold">Appendices</div>

Appendix 1: Communication to S. Cheung re Systemwide Review of the Proposed Presidential Policy on Inventions, Patents, and Innovation Transfer

Appendix 2: Communication to S. Behr re Revised Bylaws for the Committee on Research (COR)

Appendix 3: Response to NIH's [Request for Information (RFI) on Re-envisioning U.S. Postdoctoral Research Training and Career Progression within the Biomedical Research Enterprise](#)

Appendix 4: Communication to N. Blake re Recommendations to Improve the Postdoctoral Experience

Appendix 5: Communication to N. Blake re Small Grants for Faculty and Postdocs to Improve the Postdoctoral Experience

Appendix 6: Communication to S. Cheung re Impact of UAW Negotiations at UCSF

Appendix 7: Communication to S. Cheung re Plan to Mitigate the Impacts of New UAW Contracts on Faculty

Appendix 8: Communication to S. Cheung re Review of the Draft UCSF Policy on Managing Equity when Licensing University Technology

Appendix 9: Communication to S. Cheung re Proposed Modifications to the Chancellor's Bridge Funding Program

Appendix 10: Communication to S. Cheung re Proposed Research Z Payment Pilot Program

Appendix 11: Communication to S. Cheung re Proposed Research Recovery Program