

Committee on Research
Judith Moskowitz, PhD, MPH, Chair

ANNUAL REPORT 2011-2012

Issues reviewed and acted on by the Committee included:

- Selection of the 2011-2012 Faculty Research Lecturers in Basic, Clinical, and Translational Science
- Affiliation with the Research Allocation Program (RAP), including active participation on the RAP Executive Steering Committee
- Discussion with Committee on Human Research (CHR) regarding review processes
- Discussion of Operational Excellence (OE) initiatives, particularly pre-award progress and evaluation
- Report on APeX rollout and interface with research databases
- Discussion of and feedback on proposed Clinical Research Initiative
- Committee bylaws modification to specify appropriate uses of targeted endowment funds for research
- Discussion with Vice President of Research & Graduate Studies, UC Systemwide, Steven Beckwith

Task Forces, Special Committees, and Sub-Committees:

- Office of Sponsored Research Advisory Group – Janet Myers
- RAP Executive Steering Committee – Judith Moskowitz
- RAP Review Committees – Judith Moskowitz, Srikantan Nagarajan, Dorie Apollonio, Laura Dunn, Diana Green Foster, Stuart Gansky, Robert Hendren, Gary Humfleet, Judith Hahn, Celia Kaplan, Kirby Lee, Mahesh Mankani, Ralph Marcucio, Janet Myers, Vineeta Singh, and Michael West

Issues for Next Year (2011-2012)

- Monitoring and providing Feedback on Implementation of OE Pre- and Post-award.
- Increase communication between COR members' respective departments and COR
- Clinical Research Infrastructure Initiative Rollout and Impact on Faculty
- Partnership with the Committee on Human Research to Improve Its Review Process
- Creation of an infrastructure to support implementation of Open Access Policy at UCSF
- Follow-up visit from UCOP Vice President (Research & Graduate Studies) Steven Beckwith

2011-2012 Members

Judith Moskowitz, Chair	Celia Kaplan
Srikantan Nagarajan, Vice Chair	Susan Kools
Dorie Apollonio	Kirby Lee
Laura Dunn	Wu Li
Diana Foster	Mahesh Mankani
Stuart Gansky	Ralph Marcucio
Judy Hahn	Janet Myers
Robert Hendren	Vineeta Singh
Sunita Ho	Michael West
Gary Humfleet	Duan Xu
Laura Julian (until January 2012)	

Number of Meetings: 10

Senate Analyst: Alison Cleaver

University Committee on Research Policy (UCORP)

Committee on Research member Ralph Marcucio represented UCSF on this UC Systemwide committee that fosters, formulates, coordinates, revises general research policies and procedures, and advises the University of California President Mark G. Yudof on research matters affecting the University.

Visit from Steven Beckwith, Vice President of Research & Graduate Studies, UCOP

Committee on Research received a visit from VP Beckwith in February 2012, who provided members an overview of research policy from a UCOP perspective. VP Beckwith recommended UCSF bolster the following:

- Greater Systemwide collaborations and with biotech, especially utilizing some of their tools and methods in academic settings.
- New types or forms of clinical trials
 - Due to cost, clinical trials conducted nationally are decreasing in number. Still there are new demands on universities in academic in the form of drugs and drug delivery.
- New approaches for healthcare can serve as an impetus for exploration in telemedicine or other types of health or technology combinations.
- UC Medical Centers statewide should be linked for clinical purposes. UCSF's Clay Johnston and his team have developed UC BRAID for this purpose.
- Predictive models for biology have the potential to revolutionize UCSF
 - These include genomic maps or computer modeling of nascent biology.
 - These could determine the impact of pharmaceutical drugs in advance of testing them in people's bodies.

Further topics explored included:

UC Systemwide Initiatives

VP Beckwith wants UC Systemwide projects and systems to be transparent in how they're formulated and managed including their funding. He's especially asked UCORP to pay attention to this. Of particular focus are, multi-campus research units with recurring and repetitive funding mechanisms. Once these bodies are funded, they never seem to stop receiving funding, per VP Beckwith. However, if they're not delivering, why are they still getting funded and what is their value?

Patent Agreements

VP Beckwith provided a historical overview of the *Stanford v. Roche* suit that resulted in the new patent agreement all UC employees involved in research are being asked to sign. UC's main concern involves liability. The prior agreement was unclear if UC actually does own faculty discoveries; this new agreement eliminates that uncertainty.

Technology Transfer Office

The current UC Systemwide policy is that UC will license its technology and patents but not sell them to companies. This is to insure that companies don't purchase something for the sole purpose of burying it. As UC is a public institution, its developments are to be used.

Graduate Student Tuition

In response to COR members' inquiries, VP Beckwith spoke to the difference between the "sticker price" vs. the "actual price" of graduate student tuition. The UC Regents set the former—and it will continue to be raised especially on out-of-state-tuition. However, VP Beckwith advised that no campus is locked into following this model. Each campus can do as it pleases about this.

Topics Explored during 2011-2012

Resource Allocation Program (RAP) Grant Funding

Secondary Uses for Endowment Funds

Selection of the 2011-2012 Faculty Research Lecture Recipients

2011 Faculty Research Lecture – Clinical Science (Dr. Eric Small)

2012 Faculty Research Lecture – Basic Science (Drs. Ying-Hui Fu and Louis Ptacek)

2012 Faculty Research Lecture – Translational Science (Dr. Basbaum)

Operational Excellence

Changes to Grant Funding

Bylaw Revisions

COR Membership Changes

NIH Policy Revisions

APeX Rollout

Clinical Research Initiative

PI Portfolio

Open Access Policy

UCSF Governance Task Force and Faculty Oversight Committee

Subcommittees

Eye Research Funds Special Call

Human Research

New PHS Requirements and the UCSF Rollout

Resource Allocation Program (RAP) Grant Funding

Individual Investigator Grants Awarded: 28

Shared Instrument Grants Awarded: 4

Student Pathways Grant Awarded: 1

Total Grant Money Awarded: \$1,042,303.00

Fourteen COR members sat on RAP Review Committees, reviewing two cycles of grants (Fall and Spring).

The Committee also commissioned a Special Call for Eye Research Funds during the Spring 2012 RAP Funding Cycle, specifically to reduce the amount in the Ryan Eye Endowment Fund. For that special call, COR received approval from UCORP to fund grants in the amount of \$50K.

Overall, the Committee on Research funded a total of 33 grants during the 2011-2012 academic term: fourteen were funded during the Fall 2011 cycle, and eighteen, during the Spring 2012 cycle. Included in the Spring 2012 cycle was one student Pathways grant (\$28K) funded through the RAPtr Student Grant Mechanism.

- **Individual Investigator Grant**
Through the Resource Allocation Program (RAP), committee members approved funding for twenty-eight Individual Investigator Grants during the academic term. Combined grants totaling \$915,000 were funded. This included six Ryan Eye Fund Grants during the Spring 2012 funding cycle for a combined amount of \$225,000.
- **Shared Instrument Grant**
Through the Research Allocation Program (RAP), COR committee members approved funding for four Shared Instrument/Equipment Grants totaling \$99,303.00.

- **Travel Grants**

The Academic Senate office, under the auspices of the Committee of Research, granted forty-seven travel grants during the 2011-2012 academic term. These grants are funded from Opportunity Funds. Of the \$20,000 available for travel grants during the past academic term, the Senate office awarded grants in the amount of \$19,254.20. Of these applications, eleven were requests for travel to conferences outside of the United States. ([Appendix 1](#))

Discussion of Other Uses for Endowment Funds

COR members discussed how and when Senate Endowment Funds, from which grants are funded, would be used for other research-related purposes around campus. Members determined:

- All Senate Endowment Funds should be distributed as a result of a transparent, open, competitive, peer-reviewed process.
- To address the issue of excess accumulation of endowment funds, COR created a new mechanism for the distribution of money if:
 - a. The amount in a fund, at the end of a fiscal year, is \$500,000 or greater—COR will initiate a Special Call for Proposals and/or increase the amount awarded with each proposal.
 - b. This process would continue until the funds were spent.

Selection of the 2011-2012 Faculty Research Lectures Recipients

Members unanimously voted to hold all three lectures annually, rather than the original plan of honoring two out of the three on a rotational basis. Committee members reviewed numerous candidates and voted to honor three lecturers during the 2012-2013 term. Those to be honored are:

- Faculty Research Lecture - Basic Science (Winter 2013) is Dr. John Rubenstein, Psychiatry
- Faculty Research Lecture - Clinical Science (Fall 2012) is Dr. Bruce Miller, Neurology (Memory & Aging Center)
- Faculty Research Lecture - Translational Science (Spring 2013) are Drs. Steven Deeks, Positive Health Program and J. Michael McCune, Experimental Medicine. This research duo was nominated as a single candidate.

2011 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 the Academic Senate Committee on Research. Each year, the Committee on Research selects the recipient of this award.

Following extensive discussion at the end of the 2010-2011 academic term, members voted by secret ballot to select Dr. Eric J. Small, Hematology/Oncology as the recipient of the 2011 Faculty Research Lectureship in Clinical Science.

The lecture, titled “Immunotherapy for Prostate Cancer: Fact or Fiction?” took place on October 24, 2011. ([Appendix 2](#))

2012 Faculty Research Lecture - Basic Science

Each year, the Faculty Research Lecture proudly acknowledges the outstanding scientific achievements made by a member of the UCSF Academic Senate. Academic Senate members are asked to consider the contributions of their colleagues when they make nominations for this prestigious award so that the University community may recognize their scientific achievements.

After lengthy discussion, members voted by secret ballot to select Drs. Ying-Hui Fu and Louis Ptacek, Neurology as the joint recipients of the 2012 Faculty Research Lecturer in Basic Science.

Their lecture, titled “Human Genetics and Systems Neuroscience: Genes and Molecules to Human Sleep Behavior” was held on February 15, 2012. ([Appendix 3](#))

2012 Faculty Research Lecture - Translational Science

In selecting faculty to receive this award, the Senate recognizes the immense value of those who translate bench science to a bedside clinical practice directly benefiting both patients and legions of other clinicians worldwide.

COR members voted to select Dr. Allan Basbaum, Anatomy, to receive the 2012 Translational Science lectureship. Dr. Basbaum’s lecture, “The Neurological Basis of Pain and Its Control,” was held on April 17, 2012. ([Appendix 4](#))

Operational Excellence

Committee members heard ongoing presentations on the status of changes to the Pre-award Administration Process and ongoing centralization of the Contracts & Grants activities at UCSF. In Fall 2011, members heard from Susanne Hildebrand-Zanki, Associate Vice Chancellor, on the status of the changes.

In Spring 2012, Associate Vice Chancellor Susanne Hildebrand-Zanki presented the OE Pre-award Six-month Evaluation Results. Please review the attached PowerPoint for more information. Committee members continue to discuss the impact of OE pre-award changes with their colleagues and bring feedback to the committee that is then shared with Associated Vice Chancellor Hildebrand-Zanki. ([Appendix 5](#))

Changes to Grant Funding

Starting with the Spring 2012 grant cycle, the Academic Senate opted to allow for funding Principal Investigator and faculty salary, in alignment with other funding sources associated with RAP. Faculty salary funding can only be granted if funds come from an endowment fund, rather than the general fund.

Committee on Research Bylaw Revisions

Members revised bylaws to reflect that grants funded had been through a rigorous peer-reviewed process. Separately, language was added to initiate Special Calls if any particular endowment fund reached \$500K. At the close of the 2011-2012 academic year, bylaw revisions await review by the Academic Senate’s Committee on Rules & Jurisdiction. ([Appendix 6](#))

COR Membership Changes

Committee members initiated membership changes for the committee as follows:

1. COR Chair will serve for two years instead of one
2. UCORP & RAB Representatives will serve for two years - and will be the exiting COR Chair.

NIH Policy Revisions

Chair Moskowitz led a discussion on the proposed NIH revisions of Federal Policies “Relating to Grants and Cooperative Agreements: Cost Principles and Administrative Requirements (including Single Audit Act) [Document ID OMB-2012-0002-0001]”. Members discussed the proposed changes and came to a consensus on the following:

Analyst Cleaver routed the Committee’s Communication to the www.regulations.gov website on behalf of the Committee on Research, UCSF Academic Senate Division. ([Appendix 7](#))

APeX Rollout

Doug Berman, Deputy Director, ITS, provided an overview of how the implementation of APeX on the clinical side of the UCSF enterprise, will affect the research mission. Committee members provided feedback on this important initiative. ([Appendix 8](#))

Clinical Research Infrastructure Initiative

Associate Vice Chancellor for Research Susanne, Hildebrand-Zanki asked COR members to review the Clinical Research Infrastructure Initiative and provide feedback on the notion of requiring a feasibility checklist for every clinical study that would accompany the proposal to CHR.

There are two campus groups that already do feasibility checklists -- CTSI and the Cancer Center -- and most departments currently sign off on feasibility for CHR but it isn't clear how thorough the reviews have been. The purpose of the Clinical Research initiative is to make this feasibility review more explicit to avoid the creation of trials that never accrue patients, or studies that have been scientifically reviewed by NIH or other funding bodies (list of approved reviews is being developed) would not have to complete an additional feasibility review.

Committee on Research members raised issues of academic freedom related to the scientific review aspect of the feasibility checklist. At the request of COR, the Senate's Committee on Academic Freedom discussed at their June 2012 meeting and concurred with many of COR's findings. ([Appendix 9](#))

PI Portfolio

Lori Cripps, Assistant Controller, Strategic Projects provided an update on the current status of the PI Portfolio program. This is part of the financial changes involved with Operational Excellence. Originally designed for sponsored research, it provides a snapshot of a faculty member's financial portfolio and is reached through MyAccess. It goes live in 2014 and has been in development for about two years.

There is no cost to the departments for this program. The goal is to reduce reliance on multiple departmental systems and tools and move to a universal system.

The Pilot program began in January 2012 with 28 users in 15 departments. Improvements are ongoing many based on feedback from current users. A redesign is underway to improve functionality. Part of the redesign is to allow non-sponsored researching including gifts, etc., to be included in the PI Portfolio.

Training aids will be both through PI Portfolio and through the Controller's page. <http://controller.ucsf.edu/finance3/>. ([Appendix 10](#))

Open Access Policy

The Committee on Research supported the passage of the Open Access Policy as proposed by Rich Schneider, Chair, Committee on Library and Scholarly Communication. The proposed policy was put to a campus-wide Senate vote on Monday, May 21, 2012 and was passed. ([Appendix 11](#))

UCSF Governance Task Force and Faculty Oversight Committee

UCSF Academic Senate Chair Robert Newcomer, along with Farid Chehab, UCSF Academic Senate Vice Chair, updates members on the task force's efforts. At present, the Task Force solicited "big sky" ideas that faculty want to see kept throughout any UCSF Governance changes.

Subcommittees

Subcommittee on Eye Research Funds Special Call

A subcommittee of COR members held a conference call to discuss the parameters of conducting a Special Call for Eye Research. After discussion, members agreed on the following:

- To offer up to 3 Student RAPtr Grants (up to \$28K each)
- To offer up to 8 Faculty RAP Grants (up to \$50K each)

Following the success of the Spring 2012 Special Call, COR has opted to hold a second Special Call in the Fall 2012 for the same amount of funds, and also handled through the RAP mechanism.

Subcommittee on Human Research

A subcommittee of COR members met to detail member concerns regarding the Committee on Human Research (CHR). These concerns were compiled into a letter then sent to John Heldens, Director, Human Research Protection Program and Associate Vice Chancellor, Compliance & Ethics, Elizabeth Boyd,

Director Heldens and Associate Vice Chancellor Boyd attended the January 2012 meeting and gave an overview on how the Campus Committee on Human Research works. Associate Vice Chancellor Boyd advised that the current structure of CHR can be changed. The goal however would be that any changes wouldn't negatively affect the volume or speed of proposals reviewed.

A major concern for the committee was review of behavioral/social science studies. Many CHR reviewers seem uninformed about the nature of behavioral research and frequently raise imagined harms about such studies. This can lead to a number of unintended consequences and could potentially be remedied by additional training of CHR reviewers, chairs, and analysts.

Overall, discussion points focused on CHR membership issues related to term limits and creation of standardized Call for Services and evaluation of CHR Review Quality. COR members also championed creation of an appeals process for unapproved proposals.

Chair Moskowitz and CHR subcommittee Chair Dunn have met with Associated Vice Chancellor Boyd and are continuing discussion regarding potential improvements to the review process.

Subcommittee on New PHS Requirements and the UCSF Rollout

Associate Vice Chancellor Elizabeth Boyd, Ethics & Compliance, requested a COR Subcommittee be created for a one-time meeting discuss the UCSF roll-out of the new national Public Health Services Regulations. In particular, AVC Boyd was interested in hearing faculty concerns about the implementation plans, in advance of them being put into action. The new regulations go into effect August 24, 2012.

The Subcommittee met on August 6 to discuss. Within the meeting, it heard the presentation from Eric Mah, Senior Director, Research Compliance on the new online system for Conflicts of Interest at UCSF: COI-SMART. Subcommittee members appreciated the presentation and agreed to spread the word.

Appendices

- [Appendix 1:](#) Breakdown of 2011-2012 Travel Grants by Department
- [Appendix 2:](#) Poster for 2011 FRL – Clinical Science lecture given by Dr. Eric J. Small, “Immunotherapy for Prostate Cancer: Fact or Fiction?”
- [Appendix 3:](#) Poster for 2012 FRL – Basic Science lecture given by Drs. Ying-Hui Fu and Louis Ptacek, “Human Genetics and Systems Neuroscience: Genes and Molecules to Human Sleep Behavior”
- [Appendix 4:](#) Poster for 2012 FRL – Translational Science lecture given by Dr. Allan Basbaum, “The Neurological Basis of Pain and Its Control”
- [Appendix 5:](#) Operational Excellence Six-month Survey Results: Pre-award Analysis
- [Appendix 6:](#) Committee on Research Proposed Bylaw Revisions
- [Appendix 7:](#) Communication to NIH from Committee on Research on the Proposed Policy Revisions
- [Appendix 8:](#) Implementation of the APeX System in the UCSF Clinical Enterprise
- [Appendix 9:](#) Clinical Research Infrastructure Initiative Presentation

[Appendix 10](#): PI Portfolio Presentation

[Appendix 11](#): Open Access Policy Materials

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