

Committee on Research
Srikantan Nagarajan, PhD, Chair

ANNUAL REPORT 2012-2013

Issues reviewed and acted on by the Committee included:

- Selection of the 2012-2013 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 scientific feasibility review processes
- Discussion of and feedback on proposed Clinical Research Initiative
- Discussion over changes to Lab Safety Protocols
- Discussion of Mission Bay Academic Building

Task Forces, Special Committees, and Sub-Committees:

- Ad Hoc Committee on Evaluations/Input to OE Implementation, Senate APB Committee – Janet Myers
- Office of Sponsored Research Advisory Group – Janet Myers
- RAP Executive Steering Committee – Srikantan Nagarajan
- RAP Review Committees –Judith Moskowitz, Srikantan Nagarajan, Laura Dunn, Diana Greene Foster, Stuart Gansky, Robert Hendren, Judith Hahn, Celia Kaplan, Kirby Lee, Janet Myers, and Vineeta Singh
- Task Force on Academic Space Planning-- Judith Hahn, Srikantan Nagarajan, Duan Xu

Issues for Next Year (2013-2014)

- Monitoring and providing Feedback on Implementation of OE Pre- and Post-award
- Overall environment for faculty conducting research at UCSF
- Increase communication between COR members' respective departments and COR
- Increase communication between COR and the Chancellors' Advisory Bodies
- Increasing responses to calls for general and specific proposals
- Selection from nominees for Faculty Research Lectures in Basic, Clinical, and Translational Science
- Working with campus leadership on issues related to Academic Space Planning and its impact on research

2012-2013 Members

Srikantan Nagarajan, Chair	Donna Hudson
Janet Myers, Vice Chair	Ajay Jain
Janine Cataldo	Celia Kaplan
Laura Dunn	Susan Kools
Pamela Flood	Kirby Lee
Diana Foster	Janel Long-Boyle
Daniel Fried	Judith Moskowitz
Stuart Gansky	Vineeta Singh
Judy Hahn	Matthew Springer
Robert Hendren	Duan Xu
Sunita Ho	

Number of Meetings: 10

Senate Analyst: Alison Cleaver

Systemwide Business

University Committee on Research Policy (UCORP)

Committee on Research UCORP Representative Judy Moskowitz represented UCSF on this 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.

Topics explored this year included:

Insurance Rate Changes

UCOP is proposing a composite benefit rate. This will take more money from grants, freeing up state funds for other things. This change can be unfairly penalizing soft-money grants. All campuses are concerned with this; the Academic Assembly has written a letter expressing faculty concerns. UCSF Academic Senate is working closely with Eric Vermillion, Vice Chancellor, Finance, to determine the impact on this campus.

Lab Safety Protocol Changes

These Systemwide environmental health and safety changes came out of the UCLA lawsuit settlement. The lawsuit arose from the death of a technician at UCLA. Many of the protocols are already in place at UCSF, however some additional trainings were required.

UCORP also weighed in on the following topics:

- HIPAA Policy Changes
- Open Access Policy going Systemwide
- Review of ORUs at campuses. COR member Kaplan recommended Claire Brindis and her group as the UCSF point of contact

Divisional Business

Topics Explored during 2012-2013

Process Topics:

Resource Allocation Program (RAP) Grant Funding Breakdown

Selection of the 2013-2014 Faculty Research Lectures Recipients

2012 FRL – Clinical Science (Bruce Miller)

2013 FRL – Basic Science (John Rubenstein)

2013 FRL – Translational Science (Steven Deeks & J. Michael McCune)

Policy Topics:

Clinical Research Budget

Clinical Research Infrastructure Initiative

eProposal Presentation

Ethical Policy Document Review

HIPAA Policy

Laboratory Safety

Mission Bay Academic Building

Open Access Policy

Operational Excellence

Patent Agreement

Research Allocation Board (RAB)

Research Development Office (RDO)

Space Planning

PROCESS TOPICS

Limited Submission Program Opportunities

COR members participated in reviewing Limited Submission Opportunities (LSO) grant submissions during the year, as facilitated by Gail Fisher in the Research Development Office. LSOs are grant opportunities that limit the number or types of applications that can move off-campus, and consequently, require internal coordination. LSOs are managed by the Limited Submission Program which has an Advisory Committee charged with establishing policies and procedures for the LSP. At least one member of the LSP Advisory Committee serves on each grant review committee.

COR members reviewed 13 opportunities from such groups as Burroughs Wellcome Investigators in the Pathogenesis of Infectious Disease and V Foundation Translational program.

Resource Allocation Program (RAP) Grant Funding

Individual Investigator Grants Awarded: 42

Shared Instrument Grants Awarded: 3

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

Roughly 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 full 2012-2013 RAP Funding Cycles, 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 forty-five grants during the 2012-2013 academic term: twenty-one were funded during the Fall 2012 cycle, and twenty-four, during the Spring 2013 cycle. Combined, the Academic Senate funded grants totaling \$1,566,102 during this academic year.

- **Individual Investigator Grant**
Through the Resource Allocation Program (RAP), committee members approved funding for forty-two Individual Investigator Grants during the academic term. Combined grants totaling over \$1.46M were funded. This included ten and a half Ryan Eye Fund Grants for a combined total of \$525,000.
- **Shared Instrument Grant**
Through the Research Allocation Program (RAP), COR committee members approved funding for three Shared Instrument/Equipment Grants totaling \$102,917.00.
- **Travel Grants**
The Academic Senate office, under the auspices of the Committee of Research, granted fifty-seven travel grants during the 2012-2013 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 \$23,777.24* (including exceptions and one hardship). Of these applications, fourteen were requests for travel to conferences outside of the United States

* exceptions are defined as the amount spent over the \$20,000 limit. That amount, \$3,777.24, was available due to under-spending in three cycles prior (2008-2011). The over-spending is itself seen as an exception and not anticipated to be repeated in future years.

Selection of the 2013-2014 Faculty Research Lectures Recipients

Committee members reviewed several candidates and voted to honor three lecturers during the 2013-2014 term. Those to be honored are:

- Faculty Research Lecture - Basic Science (Winter 2014) is Dr. Jonathan Weissman, Cell & Tissue Biology
- Faculty Research Lecture - Clinical Science (Fall 2013) is Dr. Kristen Yaffe, Psychiatry/Neurology/Epidemiology & Biostatistics
- Faculty Research Lecture - Translational Science (Spring 2014) are Drs. Deborah and John Greenspan in Orofacial Sciences and Global Health, respectively. This research duo was nominated as a single candidate.

2012 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 2011-2012 academic term, members voted by secret ballot to select Dr. Bruce Miller, Neurology as the recipient of the 2012 Faculty Research Lectureship in Clinical Science.

The lecture, titled “Frontotemporal Dementia: An Understudied But Important Disorder” took place on October 5, 2012. ([Appendix 1](#))

2013 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 discussion, members voted by secret ballot to select Dr. John Rubenstein as the 2013 Faculty Research Lecturer in Basic Science.

His lecture, titled “Development of the Forebrain: Exploring its Genetic Architecture” was held on March 13, 2013. ([Appendix 2](#))

2013 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 Drs. Steven Deeks and J. Michael McCune, to jointly receive the 2013 Translational Science lectureship. Their lecture, “Team Science and the HIV Cure,” was held on June 18, 2013. ([Appendix 3](#))

POLICY TOPICS

Clinical Research Budget

Associate Vice Chancellor for Research Hildebrand-Zanki discussed the status of the clinical research budget. As of May 15, the campus is launching coverage analysis for clinical trials where patients are involved. This is a Medicare requirement that went into effect several years ago. Plus, the definition of a clinical trial at UCSF is now the same as clinical research—anything patient-related interventional-related

is equal to a clinical trial and eligible for the NIH research rate of 34% [F&A]. Separately, indirect cost recovery has increased to seven percent.

Clinical Research Infrastructure Initiative

AVC Hildebrand-Zanki Updated members that only faculty involved in interventional clinical trials and studies will need to do the feasibility studies. All others won't be required to do these until later on.

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 would not have to complete an additional feasibility review.

COR members developed a more substantial list of outside agencies including foundations and non-profits who already conduct scientific reviews for grant they opt to fund. ([Appendix 4](#))

eProposal

AVC Hildebrand-Zanki and her team presented on the integration and the roll-out of eProposal at UCSF. This is separate from Proposal Center that will remain intact and in use for those grant applications submitted through it. ([Appendix 5](#))

In examining other software, faculty cannot do budgets or link to collaborators nor is there any workflow. eProposal is linked to Advance, Peoplesoft, and Weblinks, and can pull salary information or anything else from these systems. This functionality is far beyond that of Cayuse.

On subcontracts, Julia Wallace said there will be additional support imported into the portal but it cannot be done until January 2014. Systems testing starts in June 2013 with the pilot going live in September 2013. The pilot will be focused on those faculty not heavily involved in the NIH October deadline. The campus as a whole will go live by December 2013. Chair Nagarajan and COR member Xu have agreed to be part of the pilot.

Ethical Documents

Committee members discussed the documents. They signed off on two out of the three and raised some questions as to the new policy on workforce sanctions.

Members offered that if this new policy was intended to be a direct continuation of HIPAA law that states employees in violation are personally responsible for civil liability, this language should be added to the document—"as per HIPAA law"—so as to be clear. It should also be made clear that issues that arise out of violation of this new policy will be addressed—as is suggested—by pre-existing UCSF ethical bodies. Committee members assume this is the case but it isn't clear.

A communication was sent to the Privacy Office and the subcommittee within it addressing the relevant documents. The Committee on Research received a response from the Privacy Office which addressed committee's concerns. Members signed off on the new policy with these revisions.

HIPAA Policy

COR members discussed the provided materials on HIPAA revisions. It was unclear from the document what the key changes are, and how such changes will be implemented at UCSF. Both Systemwide Faculty Welfare Committee and the Systemwide Committee on Academic Personnel recommended that UC campuses with medical centers review the revised policy.

Laboratory Safety

Committee members heard several presentations throughout the year on changes to lab safety that arose out of the UCLA lawsuit settlement. Many of the new protocols were already in place at UCSF so there will be few changes beyond the Departments of Pharmaceutical Chemistry and Biochemistry and Biophysics. The terms of the settlement include three essential requirements for all UC laboratories:

- Adequate training
- Detailed lab-specific Standing Operating Procedures (SOPs)
- Use of Personal Protective Equipment

Implementation will be in phases. The first phase was completed January 2013 and included EH&S completing a complete chemical inventory in the two departments in question. EH&S is upgrading inventory systems to better track the questionable chemicals and to create a library of chemicals.

Members raised concerns as to additional trainings being required of already over-burdened faculty. Associate Vice Chancellor Boyd advised that everyone is required to take the baseline safety test and protocols are being put in place to insure staff also are take it. The onus is then removed from the faculty to insure that staff and employees of their lab are taking it.

Members also discussed the pending lawsuit against the UCLA faculty member. They raised questions regarding the University's liability and ensuring that UCSF is increasingly safer. This brought up two additional questions detailing the creation of a culture of lab safety, and is it list-based or principle-based? Committee members were concerned that this would just result in make-work and not actually raise the level of safety.

Mission Bay Academic Building

COR member Judith Hahn updated people on the status of the subcommittee examining space planning and the new Mission Bay Academic Building layout. Campus administration has advised that the space policy created in line with the design of the MCAB building—that all future buildings will be in the cubicle-style—has been rescinded.

While collectively, COR members concur with the UCSF faculty-at-large that the layout of the new building isn't conducive to faculty research or compliance with HIPAA—considering the varied responsibilities of each faculty member. However COR members advised that such intangible issues like status and needed silence for grant-writing aren't being heard by campus leadership.

Instead, COR members sought to define their argument by the percentage of funds lost by faculty who can't produce in such an environment (or who stay home, thereby eliminating the idea of cubicles-as-fostering-collaboration). For example, if each faculty member brings in roughly \$250K annually and if that's a reduction across the board of \$25K per faculty --- that is a bigger siren call than loss of privacy that isn't quantifiable.

COR members voted to draft a petition against the Administration's actions. The Senate's Coordinating Committee declined to pursue a petition and instead drafted a survey to secure full faculty opinions. In particular, tenants of the new MCAB should be involved in future decision-making process, as they can opine on how the building's architecture has affected their worklife. Furthermore, an evaluation of the effectiveness of the transition should be undertaken. The Senate's Task Force on Space Planning drafted a White Paper speaking to faculty's concerns. ([Appendix 6](#))

Open Access Policy

The Committee on Research heard a presentation by Rich Schneider, Chair, Committee on Library and Scholarly Communication (COLASC) on the implementation of the Open Access Policy. Only about a hundred faculty have requested waivers with most of those publications being related to Nature Publishing or PNAS or Elsevier. UCSF publishes twelve percent of all annually published Nature articles, so it's not surprising that this publishing group has the most waiver requests. Committee on Research continues to support this policy and support its implementation. It has agreed to partner with COLASC as needed to promote as needed throughout campus.

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 2012, members heard from Susanne Hildebrand-Zanki, Associate Vice Chancellor, on the status of the changes. ([Appendices 7](#) and [8](#))

She provided an overview of pre-award changes including evaluation plans and the new pre-award priorities for FY 12-13. Some of the issues arose from the RMS going live and the loss of analysts who draft proposals. COR members asked about the grievance process for faculty when something doesn't work out with C&G RMS System. AVC Hildebrand-Zanki advised to speak with the Team Leader (if the issue is with an RSC), if it's with the Team Leader then check with Marge O'Halloran.

Patent Agreement

Systemwide circulated a new patent agreement for faculty to sign. COR encouraged members and other faculty to sign although it understood some of the reservations behind those faculty who declined to sign. ([Appendix 9](#))

Research Allocation Board (RAB)

RAB co-chairs, William Seaman and Dan Lowenstein, provided an overview of issues handled by this advisory committee. Created in 2005, the board advises the Executive Vice Chancellor & Provost and his team. Originally designed to be a compliant-processing board but quickly morphed into its present capacity. Topics recently explored include:

- Indirect Waivers
- FTE Usage (Cross-departmental Guidelines)
- International Health Studies
- Multidisciplinary Research
- UCSF Portfolio
- Industrial Research

A key topic explored in depth by RAB and COR members jointly is the changes in the HR classification of staff. All research staff involved in clinical trials are being re-classified as Clinical Research Coordinator Series.

However some staff who aren't involved in clinical trials are also being re-classified. It also means that faculty with staff on grants have to reallocate disbursements to pay for the salary increase—thus curtailing research months ahead of schedule. This will also make re-classified staff union members. AVC Hildebrand-Zanki advised that this falls under her jurisdiction and that its intention is not to cause faculty financial difficulties. She will advise in the next academic year the implementation of this change.

Research Development Office

Gretchen Kiser, Director, provided an overview of the various projects and campus-wide initiatives this office is involved with. UCSF has a virtual office for Sponsored Research that is associated with RDO.

Space Planning

Bruce Wintroub, Co-chair, UCSF Space Committee presented an overview of the proposed space plan in January 2013. This plan defines all space at \$90sq/ft. ([Appendix 10](#))

The first year of this plan will be transition. The initial dollar per square foot allocation may be revised once education space and general purpose conference rooms and COREs are added into the space plan.

Appendices

- [Appendix 1:](#) Poster for 2012 FRL – Clinical Science lecture given by Dr. Bruce Miller, “Frontotemporal Dementia: An Understudied But Important Disorder
- [Appendix 2:](#) Poster for 2013 FRL – Basic Science lecture given by Dr. John Rubenstein, “Development of the Forebrain: Exploring its Genetic Architecture”
- [Appendix 3:](#) Poster for 2013 FRL – Translational Science lecture given by Drs. Steven Deeks and J. Michael McCune, “Team Science and the HIV Cure”
- [Appendix 4:](#) Communication from the Committee on Research to the Committee on Human Research Detailing Additional Outside Foundations or Non-profits Who Conduct Scientific Reviews on Funded Grants
- [Appendix 5:](#) Presentation on eProposal
- [Appendix 6:](#) Academic Senate Task Force on Space Planning White Paper on Mission Bay Academic Building
- [Appendix 7:](#) Operational Excellence Six-Month Evaluation Results (Pre-Award)
- [Appendix 8:](#) Operational Excellence Future Initiatives (Pre-Award)
- [Appendix 9:](#) Systemwide Patent Agreement
- [Appendix 10:](#) UCSF Space Committee Overview Presentation

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