

## Committee on Research

Janet Myers, PhD, MPH, Chair

# ANNUAL REPORT

## 2014-2015

### Issues reviewed and acted on by the Committee included:

- Funding of twenty-nine Individual Investigator, Shared Instrument, or Team Science Grants through participation in the Research Allocation Program (RAP)
- Selection of the 2015-2016 Faculty Research Lecturers in Basic, Clinical, and Translational Science
- Creation of new intramural grant category, Independence Support Award, offered through Research Allocation Program (RAP), focused on those faculty who have applied for – but not received – their first R01
- Discussion of Academic Senate's Chancellors Funds to supplement School Bridge Funding
- Discussion of changing committee bylaws to reduce membership size from 23 to 15
- Discussion of the ongoing changes to RAP, including campuswide use of Bridge Funding

### Task Forces, Special Committees, and Sub-Committees:

- Limited Submission Task Force (RDO)
- Office of Sponsored Research Advisory Group – Dieter Gruenert and Edward Murphy
- RAP Executive Steering Committee – Janet Myers
- RAP Review Sub-Committee

### Issues for Next Year (2015-2016)

- Discussion of Committee on Research's portion of the Senate's Chancellors Funds
- Funding of Individual Investigator and Shared Instrument Grants through participation in RAP
- Ongoing discussion and partnership with Campus Leadership in the support of faculty researchers
- Selection of the 2016-2017 Faculty Research Lecturers in Basic, Clinical, and Translational Science

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### 2014-2015 Members

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Janet Myers, Chair  
Stuart Gansky, Vice Chair  
Adam Carrico  
Janine Cataldo  
Susan Chapman  
Jing Cheng  
Carol Dawson-Rose  
Daniel Fried  
Lea Grinberg  
John Gross  
Dieter Gruenert  
Tomoki Hashimoto  
Megan Huchko

Donna Hudson  
John Imboden  
Ajay Jain  
Alka Kanaya  
Stephen Massa  
Dieter Meyerhoff  
Susanne Mueller  
Edward Murphy  
Srikantan Nagarajan, UCORP Representative  
Adam Renslo  
Suzaynn Schick  
Matthew Springer  
Leslie Wilson

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**Number of Meetings: 9**

**Senate Analyst:** Alison Cleaver (Fall 2014) / Kenneth Laslavic (Winter-Spring 2015)

## Systemwide Business

### **APM 330 – Specialist Series**

COR Members discussed the proposed revisions and the very specific reasons at UCSF for using a Specialist over a Staff Research Associate. Specialists cannot submit grants, or they need a waiver each time they do apply for one. In contrast employees in the Professional Research Series can submit grants.

Also raised was whether these changes would create budget issues if any specialists are listed on grants.

COR members didn't want former post-docs to be automatically converted to Specialists. Issues were raised regarding prioritizing post-docs who had been in that position five to ten years.

Members also proposed replacing the phrase "master's degree" with "terminal degree" which would alleviate such issues for UCSF.

### **Senate Bylaw 182 – Proposed Amendment**

The University Committee on International Education proposed amendments to Senate Bylaw 182. The amendments would expand the scope of UCIE.

COR Members reviewed and discussed the proposed revisions. The committee felt that the revisions would overlap with the charge of the UCORP body who governs international research. COR members also wondered about the impact that the proposed revisions would have on international scholars conducting research at UCSF. There are approximately 1,100 postdoctoral scholars at UCSF, more than half of which are international. The UCSF International Students and Scholars Office support the social, cultural, and immigration needs of the UCSF international community.

COR recommended the following amendments to the revisions to Senate Bylaw 182 as they are currently proposed.

- International research activities should remain under the purview of the University of Committee on Research Policy.
- The charge of the UCIE should be explicitly defined and limited in scope to students enrolled in a University of California program who are receiving credit from the University of California.

### **University Committee on Research Policy**

Committee on Research UCORP Representative Srikantan Nagarajan represented UCSF on this Systemwide committee that fosters, formulates, coordinates, revises general research policies and procedures, and advises the University of California President Janet Napolitano on research matters affecting the University.

*Topics explored this year included:*

Reclassification of former VP, Research S. Beckwith position to focus instead on Innovation & Entrepreneurships: This newly envisioned position would report to UC President Napolitano directly. UCORP routed a Communication to request that the VP, Research position be filled quickly and that this role remains focused on the academic aspect of research – and remains separate from the business component.

UCOP still has not filled the vacancy left by former UC Systemwide Vice President, Research (Academic Programs) Steven Beckwith who stepped down to return to research. The role and responsibility of the next vice president is to be determined. Part of the determination includes the University's focus on technology transfer and increasing the income-generating potential of research.

Midway through year, UCSF faculty Regis Kelly was named Consultant to UCOP focusing on Innovation & Entrepreneurships.

## Divisional Business

### **Topics Explored during 2014-2015**

#### *Process Topics:*

*Transition to Independence Award Program*  
*Limited Submission Opportunities*  
*Resource Allocation Program Grant Funding Breakdown*  
*Selection of the 2015-2016 Faculty Research Lectures Recipients*  
*2014 FRL – Clinical Science (James Barkovich, MD)*  
*2015 FRL – Basic Science (Susan Fisher, PhD)*  
*2015 FRL – Translational Science (Charles McCulloch, PhD, MS)*

#### *Policy Topics:*

*Administrative Overworking of Faculty*  
*HR Tracking System Issues*  
*IT Changes*  
*State of Research & Research Culture at UCSF*  
*Strategic Investment Roadmap for Shared Resource Facilities (COREs) at UCSF*  
*Subcontracting Changes*  
*Sustainability*

#### *Senate Committee Workings:*

*Membership Needs for COR*

### **PROCESS TOPICS**

#### **Independence Support Award Program**

COR members discussed the development of a new grant mechanism – Independence Support Award – for the Research Allocation Program. The purpose of the Independence Support Award Program is to provide investigators who currently have or have completed an NIH career development program award (K series) or another extramural career development grant, and have submitted an NIH R01 (or equivalent) application that was not funded.

The Research Evaluation and Allocation Committee also sponsored the new grant mechanism.

Seven applications for the Independence Support Award were received by RAP. The Academic Senate funded two Independence Support Awards.

### **Limited Submission Program Opportunities**

COR members participated in reviewing Limited Submission Opportunities 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 opportunities from such groups as Pew Scholars Program in the Biomedical Sciences and Burroughs Wellcome Fund, among others.

### **Resource Allocation Program Changes**

In fall 2014, REAC implemented a new policy for one year grants that will give awardees eighteen months to draw down funds with the option to request a no cost extension for up to an additional six months.

COR reached a consensus in support of adopting the same policy for the Academic Senate.

### **Resource Allocation Program (RAP) Grant Funding**

**Individual Investigator Grants Awarded: 23**

**Shared Instrument Grants Awarded: 4**

**Team Science Grants Awarded: 2**

**Total Grant Money Awarded: \$960,762**

Roughly ten COR members sat on RAP Review Committees, reviewing two cycles of grants (fall and spring).

Overall, the COR funded 29 grants during the 2014-2015 academic year: 13 were funded during the Fall 2014 cycle, and 16, during the Spring 2015 cycle. Combined, the Academic Senate funded grants totaling \$960,762 during this academic year.

- **Individual Investigator Grant**  
Through the Resource Allocation Program (RAP), COR committee members approved funding for twenty-three Individual Investigator Grants during the academic term. Combined grants totaling over \$703,466.00 were funded.
- **Shared Instrument Grant**  
Through the Research Allocation Program (RAP), COR committee members approved funding for four Shared Instrument/Equipment Grants totaling \$112,000.00.
- **Team Science Grant**  
Through the Research Allocation Program (RAP), COR committee members approved funding for two Team Science Grants totaling \$145,296.00.
- **Travel Grants**  
The Academic Senate office, under the auspices of the Committee of Research, granted forty-five travel grants during the 2014-2015 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 \$19,937. Of these applications, seventeen were requests for travel to conferences outside of the United States.

### **Selection of the 2015-2016 Faculty Research Lectures Recipients**

Committee members reviewed several candidates and voted to honor three lecturers during the 2015-2016 term. Those to be honored are:

- Faculty Research Lecture - Clinical Science (Fall 2015) is Nancy Adler, PhD, Psychiatry
- Faculty Research Lecture - Basic Science (Winter 2016) is David Morgan, PhD, Physiology
- Faculty Research Lecture - Translational Science (Spring 2016) is Dean Sheppard, MD, Medicine

#### *Outcome of Changing the FRL Annual Call*

As a result of having examples within the Faculty Research Lecture Call that included health policy/social and behavioral science faculty, COR received applications from such faculty. It ultimately determined to select one such nominee to receive the Translational Science FRL distinction in 2016.

COR didn't receive any applications for teams this year, despite including within the Call that teams of two or more faculty were to be considered eligible for nomination.

### **2014 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 2013-2014 academic term, members voted by secret ballot to select Dr. James (Jim) Barkovich as the recipient of the 2014 Faculty Research Lectureship in Clinical Science.

The lecture, titled "Brain Malformations: from Pathology to Pathways with MRI as a Guide" took place on November 5, 2014.

### **2015 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. Susan Fisher as the 2014 Faculty Research Lecturer in Basic Science.

Her lecture, titled "Mad About Science: Placentas, Stem Cells and Mass Spectra" was held on March 10, 2015.

## **2015 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. Charles (Chuck) McCulloch to receive the 2015 Translational Science lectureship. His lecture, "small ideas on Big Data," was held on June 2, 2015.

## **POLICY TOPICS**

### **Changes with Committee on Human Research (CHR) and Human Research Protection Program (HRPP) ([Appendix 4](#))**

Lisa Denney (Interim Director, HRPP), Michael Thomas (Manager, CHR Review Unit) and Eric Mah (Interim Associate Vice Chancellor/Chief Ethics & Compliance Officer) presented on the changes in process within both the Human Research Protection Program and the Committee on Human Research. Guest Denney discussed current time to approval and volume of applications processed annually by both groups.

A recent Task Force studied both CHR and HRPP practices. Task Force outcomes included identifying inefficiencies in screening and review processes and implement changes to reduce effort per study for staff. Recent task force findings were that eighty-five percent of new applications are returned at least once for pre-review corrections. Also poorly-prepared applications take excessive time and resources to screen, review, and correct. Guest Denney advised that overall five percent of applicants consistently fail to submit an adequately-prepared application.

#### Intended changes this year include:

1. "Fast Track" review
2. Implementation of submission standards (incomplete applications and "standards not met" applications)
3. New Social and Behavioral Research application (fall/winter release date)
4. Developing training resources for new or junior researchers who are having problems navigating the application process (Clinical Research Institute)

An overall outcome of implementing the above changes could result in a reduction in time to approval by roughly 45-50 percent this year.

Committee members discussed the level of usability or lack thereof in the system and potential changes.

### **HR Tracking System Issues ([Appendix 5](#))**

AVC David Odat, Human Resources, and Jason Stout, Program Manager, HR Tracking System, provided an overview of the recommendations received by outside HR Consultants, Chazy Partners, who assessed the HR system during Summer 2014.

The HR program was developed for administrative employees who are experienced with working with HR tracking systems and is therefore not as user-friendly as it could be for faculty. COR members provided some feedback to AVC Odat.

### **Space Planning and Implementing Space Policy ([Appendix 6](#))**

Guest Associate Vice Chancellor (AVC) Yamauchi provided an overview of the current status of campus space management and the development of a database to assist those planning space with better data. The intention is to have space allocated fairly with transparent distribution and use of space.

As space turns over on campus, there will be a clear process for how to re-allocate it. The current operational cost for space (\$90 per sq ft) is a metric to determine value, not a charge to departments or faculty. All schools meet this current rate, however two schools don't meet the new rate of \$120 per sq ft. AVC Yamauchi asked how the campus can better understand and make clear the reasons why these schools cannot meet the new goal?

The project goal is to hold departments and faculty accountable for owned space. If groups aren't using allocated space, they should provide an explanation and a plan for use. This is the bigger issue for unused space and laboratories. That way offer letters from departments can be based on actual data. Guest Yamauchi is examining the aggregate level while departments and schools are examining at a granular level.

COR members asked about Mt Zion campus as all cancer beds are moving to Mission Bay. AVC Yamauchi advised that space will be reallocated for outpatient and ambulatory surgery and administrative space. The Hellmann building is seismically compromised and needs to be demolished. Those people will be relocated to pre-existing structures while that is in progress.

AVC Yamauchi and Julie Auger, Executive Director, Research Resource Program, are determining what on campus is a CORE. Those identified as such will be pulled out of the overall UCSF space metrics.

COR members raised the following questions and concerns:

1. On Mission Hall and other mixed-use hybrid spaces, productivity and cost benefits should be used as the metrics as to whether or not the space is worthwhile.
2. Basic scientists in clinical departments aren't getting the space support they need: there are pockets of space here and there but nothing in a block amount. And the metrics for a basic scientist are different than that of clinicians.

### **State of Research and Research Culture at UCSF ([Appendix 7](#))**

Brian Smith, Vice Chancellor, Research provided an overview of the current status of research at UCSF. He also provided the results from the Office of Sponsored Research 2014 Satisfaction Survey.

### **Indirect Cost Recoveries ([Appendix 8](#))**

Teresa Constantindis, Associate Vice Chancellor, Budget & Resource management, provided an overview of Facilities and Administration (F&A) cost recovery at UCSF.

### **Postdoc Services**

Committee member Dieter Gruenert conferred with HR Office of Shared Services regarding faculty needs, challenges, and concerns associated with processes for postdoc hiring and employment. Committee member Dieter presented the feedback provided to HR Office of Shared Services.

- Foreign postdoc and US postdocs need to be differentiated
- Need more specialization on visa issues
- Healthcare/benefits need to be better addressed
- Payroll related questions need to be answered
- Better responses from HR on postdoc questions
- Housing is often an issue for all postdocs
- Tax structure needs to be better clarified for foreign postdocs
- If they bring their own money – what a WOS appointment actually means as it relates to being a postdoc

- When changing status for retention or funding changes
- Internal transfers
- HR needs to help find solutions

## **COMMITTEE MATTERS**

### **Discussion on Membership Needs for COR**

Committee on Research proposed changing Division Bylaw 135A. Membership to reduce the size of the committee from 23 members plus Chair and Vice Chair to 15 members plus Chair and Vice Chair. These changes were supported by both the Rules & Jurisdiction Committee, and then the Coordinating Committee. They were approved as part of the Consent Calendar of the June 2015 Division meeting through an electronic vote administered over the summer.

## **Going Forward**

Ongoing issues under review or actions which the committee will continue into 2015-2016:

- Discussion of Committee on Research's portion of the Senate's Chancellors Funds
- Funding of Individual Investigator and Shared Instrument Grants through participation in RAP
- Ongoing discussion and partnership with Campus Leadership in the support of faculty researchers
- Selection of the 2016-2017 Faculty Research Lecturers in Basic, Clinical, and Translational Science

## **Appendices**

This Annual Report is available online and accessible via the COR Webpage on the Academic Senate website.

[Appendix 1](#): "Brain Malformations: from Pathology to Pathways with MRI as a Guide"

[Appendix 2](#): "Mad About Science: Placentas, Stem Cells and Mass Spectra"

[Appendix 3](#): "small thoughts on Big Data"

[Appendix 4](#): Human Research Protection Program and Committee on Human Research Presentation

[Appendix 5](#): Human Resources Presentation

[Appendix 6](#): Space Planning Presentation

[Appendix 7](#): Research Infrastructure and Operations Presentation

[Appendix 8](#): Indirect Cost Presentation

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