

**UNIVERSITY COMMITTEE ON RESEARCH POLICY
ANNUAL REPORT 2010-11**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

The University Committee on Research Policy (UCORP), as specified in Senate Bylaw 200, is responsible for fostering research, for formulating, coordinating, and revising general research policies and procedures, and for advising the President on research. During the 2010-11 academic year, UCORP met eight times, seven times in person and once via teleconference. This report briefly outlines the committee's activities.

RESEARCH POLICY ISSUES:

1. Multi-Campus Research Unit (MRU) Guidelines in The Compendium

In continuation of a project begun in 2009-10, the Academic Council charged the 2010-11 UCORP to undertake a revision of The Compendium section on MRUs. The complexity and import of the issue required UCORP to focus significant time and energy to make sense of the project. In this effort, the committee was assisted by the Research Grants and Program Office (RGPO) in the Office of Research and Graduate Studies (ORGS), led by Mary Croughan and aided by Kathleen Erwin, who provided detailed information about existing multi-campus research entities. The constellation of extant MRUs, MRU hybrids, and non-MRUs functioning as MRUs was mapped, and their various histories and geneses traced to the extent possible. After deliberations that spanned several months, UCORP produced a new set of guidelines governing the operation of MRUs. The salient points of the proposed guidelines are as follows.

- In steady state, there will be just two categories of multicampus research entities: Multicampus Research Units (MRUs) and Multicampus Research Programs (MRPs).
- MRUs have a longer research horizon, while MRPs are shorter-term research projects funded or partially funded by UCOP. Both MRUs and MRPs require the participation of at least three campuses or at least two campuses and at least one national laboratory.
- MRUs can exist independently of UC funding, while MRPs exist only as long as they are funded by UCOP.
- Both MRUs and MRPs can be awarded funding from UCOP as a result of a periodic competition; however, MRPs are allowed to compete for UCOP funding in at most two funding cycles, while MRUs are eligible to compete for UCOP funding throughout their existence.
- An MRP can apply to be reconstituted as an MRU.
- MRUs are established via a streamlined process; several other changes aiming to streamline the oversight, review, and disestablishment of MRUs are proposed.

Both the Academic Senate's Academic Council and the administration's Academic Planning Council endorsed the proposed guidelines, and Compendium-appropriate policy language is being drafted.

2. Native American Graves Protection and Repatriation Act (NAGPRA) Compliance
UCORP heard appeals from a group of researchers concerned that the University had not exhausted every avenue available to it in its advocacy for researcher access to sensitive materials. After further consultation with the Office of General Counsel and ORGS, UCORP agreed that additional steps could be taken, and recommended through the Academic Council that those steps be taken. The administration defended its position, and UCORP will continue to monitor the situation.
3. Assignment of Patent Rights
The Supreme Court of the United States upheld a lower court's finding in *Stanford v Roche* that Stanford University's patent assignment form did not preferentially protect the university's right to assume ownership of researcher inventions due to use of the future verb tense. The University of California has used similar language, which now needs to be amended. In 2009-10, when UCORP first heard of the lower court decision, recommended that roll-out of the amended forms be done with researcher deference – perhaps targeting likely inventors first or tying the new forms with new funding proposals and merit reviews for those who do not file; the current committee reiterated this position. The 2010-11 UCORP will monitor the process of securing amended agreements.

RESEARCH PORTFOLIO:

1. White Mountain Research Station (WMRS)
The White Mountain Research Station (WMRS) was one of three MRUs not competed in the initial MRPI funding process. Instead, ORGS proposed that WMRS be converted to part of the Natural Reserves that UC stewards. UCORP heard a report outlining the conversion process and the benefits such a realignment would bring both to White Mountain and to University researchers. ORGS' investigation of how to comply with federal regulations continues, and UCORP will continue to monitor the process.
2. University of California Observatories (UCO)
The University of California Observatories (UCO) was another of the three MRUs not competed in the initial MRPI funding process. Instead, due to the scale of astronomy projects and the long-term nature of astronomy investments, UCO is being reviewed by a high-level external review team that will also take into account a report produced by a UC Astronomy Task Force charged to set goals and priorities for Astronomy research in the UC system. UCO Director Bolte also visited UCORP to provide additional background to members first-hand and to discuss broadly the scale and long-term nature of astronomy projects. UCORP awaits issuance of the external review team's report.
3. California Institutes of Science and Innovation (Cal ISIs)
Governor Gray Davis initiative the California Institutes of Science and Innovation (Cal ISIs), and UC won the bid to host and administer them. Part of UC's administration includes five-year reviews, modeled on the academic reviews to

which UC MRUs are subjected. To that end, UCORP opined on the draft protocols for the second review of the California Institute for Telecommunications and Information Technology (CalIT2) and the first draft protocol for the California NanoSystems Institute (CNSI). UCORP awaits issuance of the external review findings for the California Institute for Quantitative Biosciences (QB3) and the Center for Information Technology Research in the Interest of Society (CITRIS).

4. Agriculture and Natural Resources (ANR)

UCORP renewed its consultative relationship with the Division of Agriculture and Natural Resources this year, receiving updates on internal ANR budget allocation processes and programmatic changes necessitated by budget contractions. Also this year, the Academic Council empanelled the Academic Council Special Committee on Agriculture and Natural Resources (ACSCANR), comprised of representatives from impacted divisions, UCORP, and the University Committee on Planning and Budget (UCPB). Both UCORP and ACSCANR will continue to work with ANR to ensure that research opportunities are maximized throughout the system.

5. Department of Energy National Laboratories

UCORP is also represented on the Academic Council Special Committee on Laboratory Issues (ACSCOLI), and the committee heard updates regarding events at the national labs stemming from federal budget contraction and scientific discoveries. As part of the budget-induced changes, potential changes to UC's allocation of the fees it earns for its role in managing the labs have been proposed; UCORP opined that integrated research between the labs and the campuses should be protected and encouraged by preserving the maximum dollars possible for the program. UCORP cited both the oversubscription of the previous lab fee RFP and the perceived disproportionate cuts already made to the research enterprise.

RESEARCH BUDGET:

UCORP consulted frequently with Vice President Steve Beckwith from the Office of Research and Graduate Studies throughout the year, and much discussion focused on cuts and curtailments to centrally funded research programs, such as the UC Discovery Program, MRUs and, possibly, efforts funded through DOE lab management fees. The committee heard with dismay that some programs would be discontinued permanently, while others may still be able to reconstitute themselves should they be able to acquire external funding. Following previous cuts to the research enterprise, this year's cuts were viewed as especially detrimental. Vigilance and nimbleness will be needed to maintain UC's allure as a research university and as pole of attraction of leading researchers nationwide. The cascading impacts of cuts to research on both faculty and graduate student recruitment and retention need to be fully understood by a wider audience.

CORRESPONDENCE REPORT:

In addition to communications relating to the above, UCORP opined on the following items and topics of systemwide import:

- Post-Employment Benefits

- UC's Long-term Strategic Plan
- Effort Reporting Guidelines
- Senate Membership
- Libraries
- Online Education Pilot
- Self-supporting Graduate and Professional Degree Fee Programs
- Proposed changes to the Academic Personnel Manual
- UC Seminar Network

UCORP REPRESENTATION:

The Chair or, when not available, the Vice Chair, or another committee member represented UCORP on the following systemwide bodies during the year: Academic Assembly, Academic Council, Academic Council Special Committee on Lab Issues, and Academic Planning Council. Throughout the year, UCORP's representatives provided updates on the activities of these groups.

UCORP INITIATIVES:

In 2009-10, implementation of the furlough program and relative low prioritization of the research aspect of the University mission by the Commission on the Future (COTF) led the 2010-11 UCORP to continue the work of the COTF's Research Strategies Workgroup (RSW) effort to develop a Research Mission Statement for the University of California. Vice Chair Crawford led the effort, consulting with COTF RSW co-Chair Mary Croughan, now an executive director in the Office of Research and Graduate Studies (ORGS) in the Office of the President. It is expected that the draft Research Mission Statement will be circulated for comment in early fall 2011.

UCORP also invited Lynn Tierney, Associate Vice President, Communications and members of her staff to discuss the effectiveness of research-related communications, as well as the overall plan for effectively articulating UC's research mission.

ACKNOWLEDGEMENTS:

UCORP is most grateful to its consultants, who have provided invaluable information and perspective to the committee: Steven Beckwith, Vice President for Research and Graduate Studies (ORGS); Mary Croughan, Executive Director for Research Grants and Program Office (RGPO), ORGS; Kathleen Erwin, Director, RGPO; and Jenny Gautier, Deputy to the Vice President (ORGS).

UCORP also wishes to thank its invited guests and campus alternates for their participation and support, as well as colleagues across the system who brought to the attention of the committee research-related issues of concern.

Respectfully submitted, UCORP 2010-11:
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