

**UNIVERSITY COMMITTEE ON RESEARCH POLICY
ANNUAL REPORT 2011-12**

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 2011-12 academic year, UCORP met eight times, seven times in person and once via videoconference. 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. That UCORP worked to disentangle the many types of research entities, a complex project in which they were 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 extant multi-campus research entities. The 2010-11 UCORP then drafted guidelines for MRU administration; those guidelines were approved by the Academic Council.

The 2011-12 UCORP was tasked to translate the guidelines into policy language for inclusion in the revised Compendium. Senate Associate Director Todd Giedt was instrumental in this drafting process, leaving the committee to make final edits only. The final round of editing sought to ensure that the revision would match new multi-campus research funding procedures initiated by ORGS as well as that the revision would be compatible with new oversight mechanisms (see item 2 below).

2. Task Force on Principles, Process and Assessment of UC Systemwide Research Investments (PPA)

Both the Compendium revision process and the recent change in centralized research funding administration illustrated the need to clarify how the University makes its research investment decisions. To codify the process and bring transparency to it, the joint Senate-administration Task Force on Principles, Process, and Assessment of UC Systemwide Research Investments (PPA) was formed. PPA membership consisted of UCORP as a committee of the whole, the campus Council of Vice Chancellors for Research, again as a committee of the whole, and relevant ORGS personnel. The task force met monthly throughout the winter and spring, and UCORP further deliberated during each of its winter and spring meetings.

Participants agreed that systemwide research funding and investment decision-making process would include a Portfolio Review Group consisting of campus administrators and Senate faculty, and would be convened by the Vice President, ORGS. The PRG is to consider the breadth and depth of research efforts, looking to fund important scientific and academic research that is not traditionally market-supported as well as newly emerging research fields and

projects designed to have an immediate impact on public welfare and knowledge. The PRG will also assess the efficacy of incumbent research programs and projects, relying on competitive evaluations such as the Multi-campus Research Programs and Initiative (MRPI) review committees' findings, annual reports, and external trends.

RESEARCH PORTFOLIO:

1. University of California Observatories (UCO)

The University of California Observatories (UCO) was one of the three MRUs not competed in the initial MRPI funding process in 2010. Instead, due to the scale of astronomy projects and the long-term nature of astronomy investments, UCO was reviewed by a high-level external review team that took into account traditional academic review materials as well as a report produced by a UC Astronomy Task Force, composed of internal stakeholders and charged to set goals and priorities for Astronomy and Astrophysics research in the UC system. UCO Director Bolte again visited UCORP to provide additional background to members first-hand and to discuss broadly the scale and long-term nature of astronomy projects.

UCORP found significant room for improvement in UCO operations and opportunity for greater integration of UCO into the larger UC research portfolio. UCORP also suggested a clearer UCO strategic plan, replete with budget projections, contingency plans, and systemwide contextualization of projects and priorities. As a result of the external reviewers' recommendation and UCORP's findings, a new UC advisory board was proposed by ORGS to oversee business operations at UCO; the precise charge of the new group and its relation to the current scientific advisory board is still under discussion.

2. California Institutes of Science and Innovation (Cal ISIs)

Governor Gray Davis initiated the California Institutes of Science and Innovation (Cal ISIs), and UC won the bid to host and administer them in 2001. Part of UC's administration includes five-year reviews, modeled on the academic reviews to which UC MRUs are subjected. To that end, this year UCORP opined on the first academic review of the Center for Information Technology Research in the Interest of Society (CITRIS). UCORP awaits issuance of the second external review findings for the California Institute for Telecommunications and Information Technology (CalIT2) as well as the first review of the California NanoSystems Institute (CNSI). UCORP reiterated its concern with the length of time required to complete each review and the lack of alignment between the review materials submitted.

3. Agriculture and Natural Resources (ANR)

Last year, the Academic Council created 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). Vice Chair Mike Kleman represented UCORP on ACSCANR and kept the committee abreast of developments, including the invitation from Vice President Allen-Diaz to include two Academic Senate Members on ANR's Program Committee charged with (a) creating the process by

which long term research priorities are identified and (b) administering the process of choosing short term award recipients within that larger context.

4. Department of Energy National Laboratories

UCORP is also represented on the Academic Council Special Committee on Laboratory Issues (ACSCOLI). UCORP, citing both the continued oversubscription of the lab fee RFP and the perceived disproportionate cuts already made to the research enterprise, lauded the administration decision to dedicate lab fees to research projects exclusively once again this year. ACSCOLI also monitored the establishment of second campus for the Lawrence Berkeley National Lab and still unresolved issues relating from the conversion of the Lawrence Livermore and Los Alamos labs to LLC management.

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. Then 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. This year, Chair Crawford incorporated the feedback of the 2011-12 membership, vetted the draft with administration stakeholders, and presented the revised statement to the Academic Council. The Council endorsed the statement, and UCORP is working to promulgate it widely.

SYSTEMWIDE REVIEW PARTICIPATION AND CORRESPONDENCE REPORT:

In addition to the above, UCORP responded to requests for review of several policies and white papers on a range of topics with systemwide import:

- Academic Personnel Manual Revisions to sections 430 (Visiting Scholars) and 668 (Negotiated Salary Plan (proposal)),
- Committee on Academic Graduate Student Support,
- Faculty Diversity Working Group Report,
- Modules for Mandatory Training Programs,
- Open Access Publishing, and
- Online Education.

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, Academic Council Special Committee on Agriculture and Natural Resources, the Academic Council Committee on Academic Graduate Student Support, the joint administration-Academic Senate Work Group on Graduate Student Issues, the Technology Transfer Advisory Committee, and the Academic Planning Council. Throughout the year, UCORP's representatives provided updates on the activities of these groups.

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 2011-12:

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