

UNIVERSITY COMMITTEE ON RESEARCH POLICY ANNUAL REPORT 2012-13

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 2012-13 academic year, UCORP met eight times, five times in person and three times via videoconference. One in-person meeting was held in Sacramento with legislative aides. 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 drafted the first revision to the Compendium with minor revisions suggested by UCORP members. The final round of editing in 2011-12 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.

The 2012-13 UCORP forwarded the draft MRU Compendium language to the Academic Planning Council for discussion and further comments. The Academic Planning Council commented on the length of the revised MRU / MRPI section of the Compendium. UCORP extensively revised and shortened the Compendium language to address these comments. The Academic Planning Council also noted that the Compendium contained language that conflicted with other governing documents, including the Academic Personnel Manual and the Regent's Standing Orders. UCORP discussed the different versions of the language and suggested that all three documents adopt the Regent's language which was identified as the most authoritative source. The Academic Planning Council accepted this suggestion, which was endorsed by the Academic Council.

As a result, this spring the systemwide Senate considered revisions to APM 241 which governs the appointment of faculty administrators, including multi-campus research entities. The level and timing of consultation with local administrators for systemwide entities was discussed at length, and UCORP suggested that the lead campus' chancellor be allowed to opine on the final

candidates. The outcome of the review will not be known until the 2013-14 UCORP is seated.

2. Lab Safety

Following high-profile incidents, UC's Office of Risk Management worked closely with the General Counsel and the Office of Research to revise the University's safety protocols and processes. UCORP received frequent updates from Director of Environmental Health and Safety Erike Young. UCORP opined that vigilance would be needed to protect researchers from suffering from cost shifting and inconsistent enforcement. UCORP also opined that regulations and trainings should be tiered to match relative risk, environmental situations, and individual level of experience.

3. Composite Benefit Rates

In an effort designed to make billing to federal funders easier, the Chief Financial Officer Division proposed the use of composite benefit rates, wherein employee benefits would be determined by class or category, rather than on an individual basis. Much discussion focused on the proper number of categories, especially for employee groups that receive differential benefits and for faculty summer salaries which are not considered covered compensation for the University of California Retirement System (UCRS) calculations. UCORP expressed concerns early in the process that research grants would be charged higher benefit rates under the proposed changes without providing any actual increased benefits to Academic Senate members.

Senate participants in the conversation were deeply involved in iterative drafts with CFO personnel, and in the end, the federal government approved the faculty-sought separate rate for summer salaries. Nonetheless, some researchers will still subsidize others through the cost smoothing process. Implementation will begin in 2014, and UCORP will continue to monitor impacts to the research enterprise closely.

4. Online Education

The Regents have directed the University to develop an online education program. There are different models in the marketplace that UC might adapt, and two distinct programs were under development at UC this year. One approach targets non-matriculated students to enlarge the educational benefits provided by the UC, and the other targets majors within UC to reduce time to degree. UCORP advocated for a third model that targets dispersed groups of students in specialized research fields that have low numbers on a single campus but that could achieve critical mass for online class offerings across the entire system. UCORP also reminded program designers that educational outcomes often depend on the research experience. As such, online courses are not workable for some disciplines, or must be offered in a multi-media format. UCORP was also concerned that courses developed for online delivery, and the materials faculty use as educational resources, could be used for other than their intended purpose or could be altered for use in ways not originally intended. UCORP will continue

to monitor the development of online education to ensure that research integrity is protected.

5. Open Access

The University Committee on Library and Scholarly Communications (UCOLASC) developed a proposal that would encourage all UC faculty to submit their research findings into an open access repository maintained by the California Digital Library. Open Access is dedicated to the idea that publicly funded research should be accessible by the public without obstacle. UCORP responded by supporting the goal of the project, but suggested easing the burden on faculty members for deposition research articles and to allow greater flexibility for disciplines where open access represents a paradigmatic shift. UCORP also sought greater protections for the copyrights of deposited materials and clear guidance regarding the citation/inclusion of previously copyrighted materials in open access research.

The Open Access Policy was approved by the Academic Council, and implementation is expected over the next year. UCORP will monitor any impacts to the research environment and processes.

6. Administrative Burden

The Office of Research and Graduate Studies (ORGS), in response to a call from the National Science Foundation, asked for UCORP's assistance in developing and promulgating a survey to assess the administrative burden principal investigators face. Chair Kleeman and Vice-Chair Clare convened a UCORP working group that worked intensively with Executive Director for Research Policy Analysis and Coordination Wendy Streitz to develop a survey for UC researchers. Nearly 1 in 8 UC researchers responded, and ORGS shared the findings with the NSF as well as with other national groups interested in the topic, including the Council on Governmental Relations and the American Association of Universities. ORGS will work to streamline UC's internal processes, and changes will be brought to UCORP for review as they become available.

RESEARCH PORTFOLIO:

1. Portfolio Review Group (PRG)

The PRG is a joint Senate-Administration group that advises the Vice President for Research and Graduate Studies on the portfolio of research enterprises centrally funded at UC. UCORP contributed to the creation of the Portfolio Review Group in 2011-12. During 2012-13, UCORP Chair Kleeman nominated Academic Senate members to serve on the PRG and met with the newly appointed PRG Chair to provide an Academic Senate perspective on the history and purpose of the PRG.

2. University of California Observatories (UCO)

Following an external review of the largest MRU (UCO), a new administrative and management group called the UCO Board was convened by ORGS Vice President Beckwith. The UCO Board is charged to oversee fiscal operations at UCO, and function as an independent moderator between UCO and the Office of the President. The UCO Board will report to the PRG. The 2011-12 UCORP supported the creation of the UCO Board, and a future UCORP will review their findings and recommendations.

During 2012-13, UCORP met directly with UCO Interim Director Sandra Faber to stay current on the evolving issues surrounding UCO. Discussion focused on the proper level of financial support from the central offices vis-à-vis other systemwide research priorities, the process of long-term goal setting for UCO and UC astronomy and astrophysics, and the best administrative structure for UCO-supported faculty with campus-based appointments. Further discussions related to UCO will be held by UCORP after recommendations are made public by the UCO Board.

3. 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 second external review findings for the California Institute for Telecommunications and Information Technology (CalIT2) as well as the first external 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. UCORP recommended changes to future Cal ISI reviews to improve the process. The recommendations were adopted by the Academic Council and forwarded to Provost Dorr for consideration.

4. Agriculture and Natural Resources (ANR)

During 2011-12, 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). Chair Kleeman represented UCORP on ACSCANR during 2012-13 and kept the committee abreast of developments.

5. Department of Energy National Laboratories

UCORP was also represented on the Academic Council Special Committee on Laboratory Issues (ACSCOLI) by Chair Kleeman. UCORP, citing both the continued oversubscription of the lab fee RFP and the perceived disproportionate cuts already made to the research enterprise, again lauded the administration's 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.

RESEARCH ADVOCACY:

UCORP engaged in a significant outreach program to Legislative Aides in Sacramento during 2012-13 to communicate the importance and benefits of UC's research mission to the state of California. The March UCORP meeting was scheduled in UC's Sacramento office with Legislative Aides attending from the Governor's office and the Department of Finance among others. UCORP highlighted UC's historical focus on research in the state constitution, the financial benefits of federal research money spent in California, the educational benefits of research opportunities for undergraduate and graduate students, and the societal benefit that research provides. UCORP also highlighted the benefits of continued support of research infrastructure within UC even during times of fiscal stress. The meeting was considered successful by all attendees and will be repeated in coming years.

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:
 - 015 (Faculty Code of Conduct),
 - 430 (Visiting Scholars),
 - 600 series (Salary Administration), and
 - 700 (Leaves of Absence and Presumptive Resignation)
- Negotiated Salary Trial Program
- "Rebenching"

UCORP REPRESENTATION:

UCORP members participated on the following systemwide bodies during the year: Academic Assembly (Chair Kleeman), Academic Council (Chair Kleeman/Vice-Chair Clare), Academic Council Special Committee on Lab Issues (Chair Kleeman), Academic Council Special Committee on Agriculture and Natural Resources (Chair Kleeman), the Technology Transfer Advisory Committee (Member Cleary), the Merit Review Workgroup (Members Dubnov and McKee) and the Academic Planning Council (Chair Kleeman). 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; Wendy Streitz, Executive Director for Research Policy Analysis and Coordination (RPAC), ORGS; 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 2012-13:

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