

UNIVERSITY COMMITTEE ON RESEARCH POLICY ANNUAL REPORT 2013-14

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 2013-14 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 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. After jointly revising the draft for clarity, brevity, and additional technical changes, the Compendium went for final review this year. The 2013-14 UCORP supported the work of its predecessors, but the Academic Council did not. Campus respondents opposed the new threshold of three campuses for MRUs, and did not find the document adequately explained the differences between MRUs and MRPIs. Campus respondents also called for an increased role for the Senate in determining which multi-campus research projects are approved. The 2014-15 UCORP will be asked to redraft this section.

2. 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 President adopted the Senate's recommendation. Although more work remains in order to determine the best composite groups for Health Sciences Compensation Plan members, the available rates minimize fund disruption significantly more than the plans proposed by the administration. The process illustrated the valuable role the Senate can play in developing new practices and demonstrated how successful Shared Governance can be.

3. Open Access

This year, the University's new Open Access policy went into effect. The University Committee on Library and Scholarly Communications (UCOLASC) developed the proposal that encourages 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. Past UCORPs 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. Previous UCORPs 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 has been in effect for one year, and the 2014-15 UCORP will monitor the impacts of the policy on research procedures.

4. Indirect Cost Recovery

President Napolitano declared the University's intent to recover fully indirect costs, and ORGS announced that it would no longer accept class waivers for indirect costs. Additional changes to UC's ICR policy may come to UCORP in the future.

5. Technology Transfer

President Napolitano rescinded UC's Industry-University Guidelines, in part to streamline the technology transfer process and to allow UC to invest directly in faculty start-ups. UC may now also accept equity for incubator access. Full guidelines for the new policies are still being developed, and UCORP will evaluate them carefully.

UCORP and the Academic Council are concerned that the University is pursuing entrepreneurial research (and other policies) in an effort to off-set state disinvestment, but without adequate Senate consultation. UCORP worries that because academic excellence is not the driving factor, negative unintended consequences could arise, such as a diminished appreciation for academic

freedom and basic research in favor of commercial and monetary gain. UCORP concerns are underlined by personnel changes in the Office of the President and Presidential actions in other areas.

6. Student Researcher Issues

UCORP heard regular reports from its graduate student representative about issues facing student researchers and their approach to addressing them. Discussions on graduate student researcher unionization, post-doctoral scholar bridge funding, and career training and transition services all benefited from being informed by the student perspective. Graduate Student Represent Muir also helped the committee understand how lab safety standards and expectations can be best communicated.

RESEARCH PORTFOLIO:

1. Portfolio Review Group (PRG)

The PRG is a joint Senate-Administration group that was charged to advise the Vice President for Research and Graduate Studies on the portfolio of research enterprises centrally funded at UC. PRG was tasked to evaluate UC's research investments for academic breadth, depth, flexibility, and vitality. 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. In 2013-14, PRG issued its recommendations in two parts. The first part focused on research projects with fungible monies, and the second part focused on projects with restricted funding. PRG found that the programs that are most likely to advance knowledge and lead to new research topics are also the programs that are most at risk for being defunded or underfunded.

In response, and in recognition of the facts that OP has disproportionately cut research programs and that across-the-board cuts disproportionately impacted research programs, UCORP worked with the University Committee on Planning and Budget (UCPB) to develop an argument for a guaranteed minimum level of central research funding. A visible institutional commitment to basic research into new scientific and social areas and the benefits that research brings is needed, especially for a public research university charged to be the research arm of the state. That research quality is imperative for faculty and graduate student recruitment and retention, and thereby for a quality undergraduate academic experience, must be reflected in institutional actions.

2. 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). Vice-chair Brouillette represented UCORP on ACSCANR during 2013-14 and reported that the extension specialists may soon renew their efforts to achieve Senate membership or equivalent status.

3. Department of Energy National Laboratories

UCORP was also represented on the Academic Council Special Committee on Laboratory Issues (ACSCOLI) by Chair Clare. ACSCOLI 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. Of particular concern to ASCOLI were the restrictions imposed on the Labs concerning travel. These were originally proposed by OMB, but recent efforts in Congress are attempting to codify and to make them even more stringent. ACSCOLI has worked together with the Academic Council to ask Senators Boxer and Feinstein to help.

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:

- Proposed Amendments to Senate Bylaw 55 (Departmental Voting Rights)
- University Policy on Copyright and Fair Use

UCORP REPRESENTATION:

UCORP members participated on the following systemwide bodies during the year: Academic Assembly (Chair Clare), Academic Council (Chair Clare/Vice-Chair Brouillette), Academic Council Special Committee on Lab Issues (Chair Clare), Academic Council Special Committee on Agriculture and Natural Resources (Vice-chair Brouillette), the Technology Transfer Advisory Committee (Member Habicht-Mauche), and the Academic Planning Council (Chair Clare). 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: Aimée Dorr (Provost), 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, UC Research Initiatives, 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 2013-14:
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