

**UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)
ANNUAL REPORT 2003-04**

TO THE ASSEMBLY OF THE ACADEMIC SENATE:

As specified in Senate Bylaw 200, the University Committee on Research Policy (UCORP) is responsible for fostering, formulating, coordinating, and revising general research policies and procedures and advising the President on research. UCORP held seven meetings and one teleconference meeting during the 2003-04 academic year. Highlights of the Committee's activities and accomplishments are noted in this report.

California Institutes for Science and Innovation (Cal ISIs)

Throughout the year UCORP discussed concerns about the California Institutes for Science and Innovation (Cal ISIs). In May the committee cosigned a letter, drafted by UCPB, which reaffirms previous UCORP and UCPB recommendations to establish formal review procedures for the Cal ISIs. UCORP also devoted a portion of one meeting for each committee member to present a brief report on the current status and functioning of the Cal ISI that is affiliated with their campus. Common issues for the Institutes were identified and discussed. Members suggested that conducting and presenting these campus reports on the Cal ISIs become an annual UCORP event. At the same meeting Associate Vice Provost Susanne Huttner reported to the committee on the mid-launch administrative review of the California Institutes for Science and Innovation (Cal ISIs). Two representatives from the Academic Senate were invited to participate in this review and Chair Janis Ingham served as UCORP's representative. One major issue that was highlighted by the review and continues to be a priority is the need for operating costs for the Institutes and that the source of these operating funds will not encumber resources normally designated to the advancement of faculty research (e.g., indirect cost recovery).

Multicampus Research Units (MRUs)

In accordance with the Universitywide Review Processes for Academic Programs, Academic Units, and Research Units (the "Compendium"), UCORP participated in the Academic Senate's evaluation of the reports of the 15-Year Reviews of two Multicampus Research Units (MRUs): the Pacific Rim Research Program (PRRP) and the President's Initiative for Research in the Humanities (PIRH). UCORP supported continuation of these MRUs and made a number of recommendations for their improvement. UCORP also discussed possible changes to the MRU program and review process, including exploration of potential new sources of funding and/or termination of some MRUs.

Problematic Restrictive Clauses in Research Awards ("Strings")

In July 2003 the Academic Council issued a charge to UCORP to broadly review research-funding policies at UC. In response to this charge, the committee consulted with the faculty and administration, at the systemwide and campus levels, to identify both appropriate and problematic restrictions and requirements ("strings") occurring in research awards, as well as the various policies and principles that are currently used to guide the University's decisions to accept or reject these conditions. UCORP invited

several guests to discuss the various issues pertaining to restrictions and requirements placed on university research by sponsors: Brad Barber, Assistant Vice President – Institutional Advancement; Michael Eisen, Professor and Public Library of Science (PLoS) Cofounder, Berkeley; Joyce Freedman, Assistant Vice Chancellor – Research Administration and Compliance, Berkeley; David Mears, Director, Research Administration Office; Geoff O’Neill, University Counsel; and Barbara Yoder, Research Administrator – Policy Development, Research Administration Office.

UCORP’s findings and recommendations were included in a final report, “Problematic Restrictive Clauses in Contracts, Grants, and Gifts for Research,” which was submitted to the Academic Council in July. In addition to this report, the committee developed a separate “Resolution on Restrictions on Research Funding Sources” in response to recent attempts by various groups within the University to ban research funding from companies associated with the tobacco industry. This resolution was endorsed by the Academic Council on July 21, 2004 and transmitted, along with UCORP’s report, to President Dynes (<http://www.universityofcalifornia.edu/senate/reports/researchstrings072304.pdf>).

Sensitive but Unclassified Technical Information (SUTI)

After receiving feedback from various systemwide committees and divisional senates, UCORP revised its “Resolution on Sensitive but Unclassified Technical Information (SUTI),” which advocates for SUTI to be treated according to the University’s existing policy on classified research. This revised SUTI resolution was adopted by the Academic Council at its November 24, 2003 meeting and forwarded to President Robert Dynes (http://www.universityofcalifornia.edu/senate/committees/ucorp/suti_resolution.pdf). In January, Academic Council Chair Lawrence Pitts received a response from President Dynes indicating that he was supportive of the resolution (http://www.universityofcalifornia.edu/senate/committees/ucorp/suti_presresponse.pdf).

Topics of Discussion

UCORP members devoted significant portions of their meetings to discussions on selected research- and policy-related topics.

ACSCONL

The committee received regular updates on the activities of the Academic Council Special Committee on the National Laboratories (ACSCONL) of which UCORP Chair Janis Ingham is a member. Members made suggestions for topics for ACSCONL’s white papers and tested the electronic survey on laboratory management before it was sent to the faculty.

Export Control Regulations

Consultants from the Office of Research and Research Administration Office reported to the committee on issues related to federal export control regulations. Compliance with these regulations is critical because violation can result in civil and criminal penalties for both the faculty member and the University. Under the export control regulations, actions that can be considered an export and may require a license include: shipping or carrying items subject to controls out of the U.S.; releasing “technical data” to a foreign person in

the U.S. or abroad; providing technical assistance or training of a foreign person in the U.S. or abroad; and performing research in embargoed countries. Technical data receive an exemption from these licensing regulations if they are considered “publicly available” or result from “fundamental research” in which no restrictions on publication or access were accepted.

In an effort to find out what is being done on the individual campuses to inform faculty about these export control regulations, UCORP members communicated with their Vice Chancellors for Research and reported to the committee on their findings. The committee agreed that the University must improve the information and resources provided to the faculty about export control regulations and compliance.

Homeland Security Research

Cory Coll, Director of Laboratory Collaborations, and Cathie Magowan, Director of Science and Technology Research Programs and Initiatives, informed UCORP of several funding opportunities available to the University community for homeland security research. The Office of Laboratory Management has worked together with the Office of Research in coordinating joint UC/National Laboratory initiatives in the area of homeland security research.

Integrated Safety & Environmental Management System (ISEM)

Lawrence Coleman, Vice Provost for Research, and David Belk, ISEM Program Manager, briefed the committee on a project of the Environmental Health and Safety (EH&S) Directors to implement the Integrated Safety and Environmental Management System (ISEM). This new environmental management system is based on the system currently used at the National Laboratories and differs from UC’s current system because the environmental and safety controls are tailored specifically to the activities of and materials used in each research laboratory. UCORP members provided feedback and expressed concerns about the new system. The campus EH&S Directors intend to visit each divisional senate’s Committee on Research for further feedback on how best to rollout this project and to seek volunteers for piloting the program.

Other Reports and Recommendations

The committee also reviewed and wrote opinions on the following policies and proposals:

- Reports from the Task Force on Faculty Instructional Activities
- Report of the Graduate and Professional School Admissions Task Force
- Metrics for Faculty Instructional Activities at the Graduate Level
- Cooperative Extension Specialists “Equivalent Status” Proposal
- UCAAD’s Proposed Revisions to APM 210, 240 and 245
- Proposed Senate/Administration Task Force on DANR
- Professorial Step System Task Force Report
- Academic Senate Website Policy
- Budget Planning Priorities

UCORP Representation

The Chair, Vice Chair, or a member represented UCORP on the following Committees during the year: Academic Council, Academic Council Subcommittee on the National Laboratories, Council on Research, Industry-University Cooperative Research Program Steering Committee, National Laboratories President's Council, and National Laboratories Science and Technology Panel.

Acknowledgment

UCORP is grateful for the invaluable contributions made by the following members of the Office of Research: Lawrence Coleman, Vice Provost for Research; Susanne Huttner, Associate Vice Provost for Research, Major Research Initiatives and Industry-University Partnerships; Ellen Auriti, Director of Research Policy; Cory Coll, Director of Laboratory Collaborations; Cathie Magowan, Director of Science and Technology Research Programs and Initiatives; and Dante Noto, Director of Humanities, Arts and Social Science Programs and Initiatives.

Respectfully submitted:

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