

**UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)  
ANNUAL REPORT 2005-06**

**TO THE ASSEMBLY OF THE ACADEMIC SENATE:**

As specified in Senate Bylaw 200, the University Committee on Research Policy (UCORP) is responsible for fostering research, for formulating, coordinating, and revising general research policies and procedures, and for advising the President on research. UCORP held seven meetings during the 2005-06 academic year. Highlights of the committee's activities are noted in this report.

**Universitywide Research Programs**

15 Year Reviews of Multi-campus 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 Multi-Campus Research Units (MRUs): the University of California Committee on Latino Research (UCCLR) and the Biotechnology Research and Education Program (BREP). For UCCLR, UCORP recommended significant structural and programmatic changes focusing on improving the program's research focus, productivity, and multi-campus value added. Specifically, two options were presented: Either to fund the program on a short term basis contingent upon its meeting these greater expectations or to terminate UCCLR and competitively re-bid UC's Latino research funds to a new MRU with a better organizational structure and a greater potential to contribute significantly to UC and the research area. The Office of Research is investigating its options, and UCORP will continue to be involved in the decision-making process. For BREP, UCORP recommended continued OP funding as well as granting the program Director greater freedom and support to pursue additional state and extramural funding; given the import and vivacity of the research area, securing adequate funds to enable program independence should present no problem.

Restructuring MRUs:

UCORP continued its long-standing conversation with the Office of Research to devise formal recommendations on restructuring the MRU review and funding processes. A Joint Senate-Administration Work Group chaired by Vice Provost for Research Lawrence Coleman and UCORP Chair Sensabaugh was formed to address these issues; an additional UCORP member served on this Work Group. The recommendations generated by the Work Group are designed to improve the relevance and competitiveness of MRU-generated research and to maximize the benefit of UC's financial investments. The Work Group submitted its recommendations to the Academic Council in July 2006. UCORP will continue to monitor the restructuring of MRUs and the implementation of the Work Group's recommendations.

California Institutes for Science and Innovation (Cal ISIs):

At the request of Provost Hume and Academic Council Chair Brunk, the chairs of UCORP and UCPB developed a draft protocol for the review of the Cal ISIs. This protocol reflects much of the substance of Senate recommendations made over the past

five years. The protocol outlines a coordinated review process that includes appropriate Senate and administrative involvement at both the campus and systemwide levels. The review guidelines establish a review timeframe and specific areas for assessment, such as the Institute's administrative operations, budget, relationship with industry and related intellectual property issues, integration with host campuses; coordination with other sites, and governance. The review process also includes a final "closing the loop" report to the Senate. The protocol was approved by the Academic Council and adopted by the Provost as the basis for a sequential review of the four Cal ISIs beginning in the fall of 2006 with the review of Cal IT2. In addition to commenting on the Cal IT2 review next year, UCORP will participate in reviewing the effectiveness of the Cal ISI review protocol and in developing guidelines for the preparation of an ISI Director's Report to parallel the review panel guidelines in the adopted protocol.

### **National Laboratory Management Issues**

The committee received regular updates on the status of the Department of Energy (DOE) national laboratories' management contracts, generally, and specifically, on the changes and challenges involved in transferring administration of the Los Alamos National Laboratory (LANL) to the Los Alamos National Security, Limited Liability Company (LANS LLC), a semi-independent management group formed by UC, Bechtel, and others in response to DOE calls to change the administrative structure of the lab. Reports were provided by the UCORP Vice Chair, a member of the Academic Council Special Committee on the National Laboratories (ACSCONL). Together with the University Committee on Planning and Budget (UCPB), UCORP requested greater transparency regarding the LANS LLC management contract and how the new structure will impact relations with UC. Given the imminent (potential) re-bidding for the Lawrence Livermore National Laboratory (LLNL) management contract, which DOE is expected to restructure similarly, UCORP will continue to monitor this issue.

### **Institutional Review Board (IRB) Operations**

In response to reports of interference by Institutional Review Boards in faculty research, the Academic Council asked UCORP, in June 2005, to take the lead in conducting an inquiry into the operation of IRBs at UC in order to determine the need for systemwide IRB standards. In the course of 2005-06, UCORP gathered information from each campus IRB and from individual UC researchers, consulted with the Office of Research on IRB policies and practices, and reviewed recent publications dealing with IRB – related issues. UCORP submitted the resulting report *Institutional Review Boards at UC: IRB Operations and the Researcher's Experience* to the Academic Council in July 2006. The report recommends increased support for IRB staffing needs as well as a number of measures, both systemwide and on campuses, designed to enhance IRB coordination and efficiency, address concerns relating to consistency in interpretation of regulations, IRB/faculty relations, and faculty complaints, and provide data for future review and monitoring. The report has been distributed for general Senate review and comment from appropriate administrative agencies.

UCORP is also monitoring the impact of a Memorandum of Understanding among the UC IRBs (initiated this year) that provides for single IRB approval of multi-campus research endeavors.

### **Consultation with the Office of the President**

Consultants from the Office of Research regularly updated the committee on policy issues related to research, including:

- The California Stem Cell Initiative and the California Institute for Regenerative Medicine
- UC bid for the National Bio- and Agrodefense Facility
- Potential UC bid for a Petascale computer
- Technology transfer
- Open access publication of research data
- Systemwide training on ethics
- State and federal legislative initiatives
- Changes in state and federal policies relating to UC research

### Federal Non-competitive Funding Requests

UCOP Office of Research this year established a formal process for the submission of federal non-competitive funding requests, i.e. “earmarks.” This process was initiated in response to a request from California Senators Boxer and Feinstein that UC earmark requests be prioritized. UCORP recommended clarification of the guidelines regarding the processes for both campus COR and chancellorial vetting of earmark requests. Further, UCORP concurred with the Office of Research in recommending a more aggressive timeline for campus submission of and Office of Research evaluation of earmark requests. UCORP requested Senate consultation through an annual review of an itemized list of requests in order to track the efficiency of the process. UCORP also was concerned that the existing process did not capture earmark requests targeting California’s representatives in the House. UCORP will continue to monitor this matter in the upcoming year.

### Monitoring of Systemwide Research Initiatives

UCORP received briefings on existing system research initiatives through updates and presentations provided by invited guests.

- Special Research Programs: Charles “Larry” Gruder, Director of Special Research Programs, informed the committee on the current status of the California Breast Cancer Research Program (CBCRP), the Tobacco-Related Disease Research Program (TRDRP), and the Universitywide AIDS Research Program (UARP).
- International Strategy Development: Gretchen Kalonji, Director of International Strategy Development, updated the committee on academic and research joint ventures being developed between UC and India, and UC and PR China, among others.
- Natural Reserve System: Chin Yin Noah, Associate Director of the Natural Reserve System, informed the committee of the variety of facilities and research opportunities available through the NRS.

- Industry-University Cooperation Research Program: AVP Susanne Huttner updated the committee on the accomplishments of the program. Hans Schollhammer, UCORP liaison to the Industry-University Cooperative Research Program and the Technology Transfer Advisory Committee, provided regular updates on developments involving the IUCRP and TTAC.

### **Reports and Recommendations**

The committee commented on the following Senate matters:

- The review and possible restructuring of the Division of Agriculture and Natural Resources (DANR)
- Proposed amendment to APM 220-18.b (40)
- Proposed change to the University copyright policy initiated by the Special Committee on Scholarly Communications, along with that committee's set of five White Papers on aspects of scholarly communication
- Proposed Principles on Private Funding for Senior Leadership Salaries at the Level of Dean and Above
- Proposed policy changes related to Effort Reporting
- UCAF's proposed Student Freedom of Scholarly Inquiry Principles
- UCOL's proposed amendment to Senate Bylaw 185-Library

### **UCORP Representation**

The Chair, Vice Chair, or another committee member or liaison represented UCORP on the following systemwide bodies during the year: Academic Council, Academic Council Special Committee on the National Laboratories, Council on Research, Environmental Safety and Health Panel of the President's Council, Graduate Student Advisory Committee, Industry-University Cooperative Research Program Steering Committee, Joint Senate-Administration MRU Work Group, President's Council (on the National Laboratories), Research Compliance Advisory Committee, and the Technology Transfer Advisory Committee. Throughout the year, UCORP's representatives provided updates on the activities of these groups.

### **Acknowledgments**

UCORP is grateful to have had in the past year, valuable input from and exchange with these UCOP consultants: Lawrence Coleman, Vice Provost for Research; Ellen Auriti, Executive Director of Academic Legislation; Cathie Magowan, Director of Science and Technology Research Programs and Initiatives; Dante Noto, Director of Humanities, Arts and Social Science Programs and Initiatives, Susanne Huttner, Associate Vice Provost of Major Research Initiatives and Executive Director of the Industry-University Cooperative Research Program; Ellen Switkes, Associate Vice President – Academic Advancement.

Respectfully submitted:

George Sensabaugh, Chair (UCB)

Wendy Max, Vice Chair (UCSF)  
Slawomir Hermanowicz UCB  
James Murray UCD  
Faryar Jabbari UCI (Sept. – Jan.)  
Richard McCleary UCI (Feb & March)  
Cornelia Pechmann UCI (April – Aug)  
Joel Aberbach UCLA (Spring 2006)  
Edwin Cooper UCLA (Fall 2005)  
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