

**UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)  
ANNUAL REPORT 2006-07**

**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 2006-07 academic year, UCORP met eight times. This report contains a summary of the committee's activities.

**Investigation into Indirect Cost Recovery (ICR), AKA Facilities and Administration (F&A) Costs**

In response to member interest, the committee began an investigation into Indirect Cost Recovery (ICR), also known as Facilities and Administration (F&A) cost recovery. These monies are reimbursements to research institutions for the cost of conducting research—common examples are building maintenance and grant administration and accounting. Systemwide, federal ICR alone totals over \$500M annually; this amount, however, falls short of fully reimbursing the University for its F&A expenditures. As UC's total research increases, this gap between expenditures and recovery widens, putting the University on a downward trajectory in terms of net income relating to research. Writ large, the impact of this trend is well-illustrated in the University Committee on Planning and Budget's recent "[Future's Report](#)."

Members first consulted with their home campuses in a general fact-finding mission, and the subsequently met with Office of the President personnel in a Q&A. The committee then researched the topic further by analyzing data from other research universities and university advocacy organizations, such as the Council on Governmental Relations (COGR). Lead investigators sought additional input from colleagues on the University Committee on Planning and Budget (UCPB) and met jointly with Budget Office officials.

This investigation echoes previous efforts undertaken by UCORP, UCPB, and UCOP to clarify the complex issue. Each previous effort has failed to reach a wide audience. In order to produce as comprehensive a report as possible and to achieve wide dissemination of it, UCORP submitted to the Academic Council an interim report which included three recommendations for the 2007-08 UCORP:

1. To form a joint UCORP-UCPB working group, to operate for the 2007-08 academic year, comprised of no more than 5-6 members, with the charge of gathering data, deliberating on these and related issues, and making specific recommendations to the Academic Council regarding matters of ICR and general research budgeting and accounting.
2. To explore options for tracking the use of ICR funds, and use of Opportunity Funds and UC General Funds, so that the extent to which ICR funds are used to support research can be documented and evaluated, and the extent of the research support deficit (if any) can be quantified and tracked over time.
3. That UCORP and UCOP should work together to develop strategies for improving UC's research profile throughout the state and country, and to make

clear to the public at large the unique importance of UC's research mission.

Suggested strategies will be vetted through the Academic Council.

The Academic Council endorsed these recommendations, and UCORP will implement them in the upcoming year.

### **Universitywide Research Programs**

#### University of California Committee on Latino Research (UCCLR):

Last year, 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 report of the 15-year review of several multi-campus research units (MRUs). Upon receiving recommendations for significant structural and programmatic changes from UCORP and the other “Compendium Committees”, UCPB and the Coordinating Council on Graduate Affairs (CCGA), the University of California Committee on Latino Research (UCCLR) this year presented a three-year plan to implement many of the recommendations they received; the revised director’s report and plan outlines a transition from a largely re-granting body to a more tightly defined MRU<sup>1</sup>. The Compendium Committees responded to the revised report, with UCORP and CCGA supporting it and UCPB recommending a shorter period of transition. These responses were communicated to the Academic Council for submittal to the Office of Research.

#### California Policy Research Center (CPRC):

In response to a request from Vice Provost for Research Lawrence Coleman, UCORP provided informal feedback to an Office of Research-initiated review of the California Policy Research Center (CPRC). UCORP supported many of the report’s recommendations, including that CPRC be relocated to Sacramento, that it seek extramural funding sources, and that it develop a better strategic plan outlining not only fiscal priorities but also programmatic ones.

#### Restructuring MRUs:

Last year, a joint administration-Senate work group, co-chaired by then UCORP Chair George Sensabaugh and Vice Provost for Research Lawrence Coleman drafted a set of recommendations designed to improve the relevance and competitiveness of MRU-generated research and to maximize the benefit of UC’s financial investments therein. This report was reviewed by the full Academic Senate, and the Academic Council sent Vice Provost Coleman the Senate’s feedback (available [here](#)). The Office of Research is proceeding with the implementation of several of the agreed upon recommendations, such as the establishment of an oversight board, for which nominees were solicited from the Senate, among others. UCORP will continue to monitor the implementation and impact of this revised MRU structure, nomenclature, and operating protocol.

#### California Institutes for Science and Innovation (Cal ISIs):

Last year, 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 California Institutes for Science and Innovation (Cal ISIs). The [protocol](#) ([additional](#)

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<sup>1</sup> See “Restructuring MRUs” section below.

[recommendation](#)) was approved by the Academic Council and adopted by the Provost as the basis for a sequential review of the four Cal ISIs beginning with the review of the California Institute for Telecommunications and Information Technology (Cal IT2). The Cal IT2 review was sent to the Senate for comment in May 2007. UCORP and the other Compendium Committees are still finalizing their responses in order to meet an early fall 2007 deadline set by the Provost, and they are focusing on the efficacy of the Cal ISI review protocol and in further developing guidelines for the preparation of an ISI Director's Report to parallel the review panel guidelines in the adopted protocol, as well as the overall functioning of Cal IT2.

### **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 challenges and changes involved in transferring administration of (1) the Los Alamos National Laboratory (LANL) to the Los Alamos National Security, Limited Liability Company (LANS LLC) and (2) the Lawrence Livermore National Laboratory (LLNL) to the Lawrence Livermore National Security, Limited Liability Company (LLNS LLC). Both LLCs are semi-independent management groups formed by UC, Bechtel, and others in response to DOE calls to change the administrative structure of the labs. Reports were provided by UCORP Chair Wendy Max, a member of the Academic Council Special Committee on the National Laboratories (ACSCONL).

Given the new and evolving relationship between UC and the labs, ACSCONL members felt that that body should be dissolved and replaced with a new one more specifically tailored to monitor the LLCs. Accordingly, the Academic Council approved the dissolution of ACSCONL and the establishment of the Academic Council Special Committee on Laboratory Issues (ACSCOLI). Specific areas of interest for ACSCOLI to investigate and monitor include the reporting relationships between the LLCs' boards of governors and UC leadership, the operational details of the complex management contracts, opportunities for closer cooperation between UC researchers and lab personnel, and allocation of the management fee monies collected by UC.

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

Previously, in response to reports of interference by Institutional Review Boards (IRBs) in faculty research, the Academic Council asked UCORP 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. After conducting an extensive investigation, UCORP submitted the resulting report to the Academic Council in July 2006. The report, which recommends increased support for IRB staffing needs as well as a number of other measures, was distributed for general Senate review and comment from appropriate administrative agencies. Upon completion of the review, the Academic Council asked UCORP to revise the report. The lead authors of the original report, former UCORP Chair George Sensabaugh and analyst Brenda Foust, took the lead in making those revisions. The revised report was approved by the current UCORP as well as by the Academic Council. It may be viewed [here](#).

UCORP also continued to monitor the impact of an Office of Research-authored Memorandum of Understanding between UC IRBs that provides for single IRB approval of multi-campus research endeavors. 2006-07 was the first year of operation under the MOU.

### **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's bid for the National Bio- and Agro- Defense Facility
- UC's bid for a Peta-scale computer
- The joint UC-BP Energy Biosciences Institute
- Animal researcher security
- Ownership of research data
- Technology transfer
- Concerns over sources of research funding, like tobacco-related corporate sponsors and NIH grants
- Changes in state and federal policies relating to UC research, like funding- and security-related restrictions
- Federal non-competitive funding requests, AKA "earmarks"

UCORP also received briefings on the California Institute for Energy and Environment, as well as on its parent entity, the University of California Energy Institute, from Directors Carl Blumstein and Severin Borenstein, respectively.

### **Reports and Recommendations**

The committee commented on the following Senate matters:

- Draft Proposals on the Relationships Between (Pharmaceutical) Vendors and Clinicians
- Proposed Amendment to Senate Bylaw 205 Part I.A., Membership of the University Committee on Rules and Jurisdiction
- Institutional Review Boards at UC: An Inquiry into IRB Operations and the Researcher's Experience
- Proposed Amendment to Senate Bylaw 181—University Committee on Information Technology and Telecommunications Policy
- Recycling Multi-campus Research Unit Funds, Recommendations of the Joint Academic Senate/UCOP Workgroup
- Structure, Function, Leadership, and Developmental Trajectory for Research Support Functions at the UC Office of the President
- Proposed Policy on Fiscal Impact Statements
- Regent's Proposed Resolution 89 (RE-89)
- UCAF Proposed Student Freedom of Scholarly Inquiry Principles
- Revised Director's Response to 15-year Review of the University of California Committee on Latino Research

- Review of the Industry-University Cooperative Research Program (jointly with UCPB)

### **UCORP Representation**

The Chair, Vice Chair, or another committee member or liaison represented UCORP on the following systemwide bodies during the year: Academic Assembly, Academic Council, Academic Council Special Committee on the National Laboratories, Academic Planning Council, Committee to Conduct 5 Year Review of the California Policy Research Center (CPRC), Committee to Review Research Functions within the Office of the President, Council on Research, Industry-University Cooperative Research Program Steering Committee, Panel on Environmental Health & Safety, President's Advisory Committee on the National Labs, President's Advisory Committee on the National Labs, and the Technology Transfer Advisory Committee. Throughout the year, UCORP's representatives provided updates on the activities of these groups.

### **Acknowledgements**

UCORP is grateful to its consultants, who have provided invaluable information and perspective to the committee: Lawrence Coleman, Vice Provost for Research; Ellen Auriti, Executive Director of Research Policy and Legislation; Cathie Magowan, Director of Science and Technology Research Programs and Initiatives; Dante Noto, Director of Humanities, Arts, and Social Science Research Programs and Initiatives.

UCORP also wishes to thank its invited guests, campus alternates, and student representatives for their participation and support.

Cordially,

Wendy Max, Chair (SF)  
 Jose Wudka, Vice Chair (R)  
 Slawomir Hermanowicz (B)  
 James Carey (D)  
 Moyra Smith (I)  
 Ajit Mal (LA)  
 David Noelle (M)  
 John "Chris" Laursen (R)  
 Theodore Groves (SD)  
 Edward Murphy (SF)  
 Roger Ingham (SB, Fall-Winter)  
 Stanley Parsons (SB, Spring-Summer)  
 Andrew Fisher (SC)

Kenneth Feer, Committee Analyst