

**UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)  
ANNUAL REPORT 2002-2003**

**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 met a total of eight times during the 2002-2003 academic year. Highlights of the Committee's activities and accomplishments are noted in this report.

**UC-DOE Laboratories Subcommittee**

With the approval of the Academic Council, a subcommittee of UCORP was formed in the spring of 2001 to examine issues concerning the relationship between the University of California and the Department of Energy Laboratories. This year the subcommittee completed an interim report, which outlined recommendations for changes in the way in which the faculty interacts with the National Laboratories. At the February meeting of UCORP, the interim report was presented by the Subcommittee and was endorsed with one amendment.

In May the Academic Council discussed the report of UCORP's UC-DOE Laboratories Subcommittee, but deemed that some of its recommendations were out of date because they were made prior to the decision of the Secretary of Energy to compete the Los Alamos National Laboratory contract when the University of California's contract expires (September 30, 2005). One of the major recommendations of the Subcommittee report was that there be some Senate committee that remained connected to the National Laboratories' issues. This recommendation was supported very strongly by the Academic Council and it was decided that the UCORP UC-DOE Laboratories Subcommittee should be reconstituted as a subcommittee of the Academic Council called the Academic Council Subcommittee on the National Laboratories (ACSONL). The new subcommittee's membership includes the Chair and Vice Chair of Council, the UCORP Chair, and three members from the original UCORP subcommittee.

**Research Unit Reviews**

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 reviews of and proposals for the following research units:

*Five-Year Review of the Agricultural Experiment Station (AES).* For several months the committee discussed the first Five-Year Review of the Agricultural

Experiment Station (AES) of the Division of Agriculture and Natural Resources (DANR). UCORP agreed with the Review's conclusion that AES could function more efficiently and more effectively, and in response recommended that AES provide a status report on its progress in addressing the issues raised in the Five-Year Review by the end of 2004.

***MRU 15-Year Reviews.*** UCORP reviewed the reports on the 15-Year Reviews of three Multicampus Research Units (MRUs): the Institute on Global Conflict and Cooperation (IGCC), the University of California Linguistic Minority Research Institute (UC LMRI), and the University of California Institute for Mexico and the United States (UC MEXUS). UCORP recommended that these three MRUs be continued.

***New MRU Proposal.*** UCORP reviewed and commented on a proposal for a new MRU entitled "Bioengineering Institute of California." UCORP's report identified various concerns about the proposal, but also supported the concept of a bioengineering MRU.

### **In-Depth Discussion**

UCORP members devoted significant portions of their meetings to in-depth discussions on selected research policy issues. Those included:

***Review of the California Institutes for Science and Innovation (Cal ISIs).*** Throughout the year UCORP discussed concerns about the review processes for the California Institutes for Science and Innovation (Cal ISIs). UCORP disagrees with the notion that the Cal ISIs are not multicampus research entities and therefore are not subject to systemwide Senate review. In March the committee submitted a report to the Academic Council that documents various policies of the Regents and the President that support the Cal ISIs undergoing systemwide Senate review. In this report, UCORP stated that the Cal ISI units are clearly "organized research units" as defined by the Regents, and therefore subject to Senate review. Furthermore, as units that serve more than one campus, they are multicampus research units as defined by current Presidential policy and review should occur using the MRU procedures already in place.

***Sensitive but Unclassified Technical Information (SUTI).*** On March 19, 2002, White House Chief of Staff Andrew Card introduced a new category of "sensitive" but unclassified information related to homeland security. When this sensitive but unclassified technical information or "SUTI" language is included in grants, it allows for ex post facto classification of research or a declaration that the research is "sensitive," thus allowing the granting agency to block or limit publication and promulgation of the research. This SUTI category in effect creates a new gray area between classified and unclassified research.

UCORP first became aware of this issue through discussions with Vice Provost for Research Lawrence Coleman in October. For several months the committee examined this issue and in response composed a preamble and resolution, which advocates for SUTI to be treated according to the University's existing policy on classified research. UCORP submitted its SUTI Resolution to the Academic Council in March with a recommendation that it be endorsed and proposed to the University administration for implementation as a systemwide research policy.

***Anti-Tobacco and Other Grant Restrictions.*** At the January meeting of UCORP, the committee heard from Professor David Burns (UCSD) and Vice Provost for Research Lawrence Coleman regarding issues involving a grant from the American Legacy Foundation (ALF). This grant included a clause that prohibited the organizational unit receiving the ALF grant from also receiving funding from the tobacco industry. After a series of negotiations between ALF and the University of California and modifications to the grant language, the University in the end declined the grant. After reviewing the issue, UCORP supported the principle guiding the University's decision to accept neither the original nor the modified terms of the ALF grant, namely the University's policy of not accepting grants that may prevent or discourage investigators other than the Principle Investigator from obtaining funds from certain sources.

In a related matter, in January UCORP also examined the results of UCSF's faculty vote on whether or not to accept tobacco industry funding. The Academic Council, in July, committed to UCORP the review of the University of California's stance on the issue of banning tobacco funding, along with a broader charge to review the University's research-funding policies. The committee will examine this issue in-depth next year.

### **Invited Guests**

Throughout the year, UCORP invited a number of guests in addition to their regular consultants to inform the committee of a variety of issues and areas within the University of California. These special guests and their topics included:

***National Laboratories and Homeland Security.*** In February, the committee met with Cory Coll, Director of Laboratory Collaborations, William Barletta, Director of the Accelerator & Fusion Research Division of the Lawrence Berkeley National Laboratory (LBNL), and Laura Gilliom, Director of the University Relations Program of the Lawrence Livermore National Laboratory (LLNL). These representatives from the Laboratory Administration and National Laboratories requested advice from UCORP regarding how best to engage the campuses with the National Laboratories in responding to and stimulating new initiatives to support the nation's homeland security needs. Director Gilliom and Director Barletta also presented information on the ways in which LLNL and LBNL are organized for and involved in homeland security issues.

***Libraries and Scholarly Information.*** Daniel Greenstein, Associate Vice President for Scholarly Information, University Librarian for Systemwide Library Planning, and Executive Director of the California Digital Library, spoke to UCORP in March about Universitywide planning efforts for libraries and scholarly information.

***Systemwide Divisions.*** This year UCORP sought to learn more about the various entities that are involved on a systemwide level in the University of California research enterprise but are separate from the Office of Research. Representatives from these different offices were invited to various UCORP meetings to discuss the ways in which their programs are created, funded, managed and reviewed.

- Vice President W. R. Gomes attended the March meeting of UCORP and reported on the Division of Agriculture and Natural Resources.
- Vice President Michael Drake attended the June meeting of UCORP and reported on the Division of Health Affairs.

### **Other Reports**

The committee also reviewed and wrote opinions on the following policies and proposals: UC Merced School of Management Perspective; UC Center in Sacramento: Model Development Plan; UCI Department of Information & Computer Science Name Change; Policy on Ownership of Course Materials; Proposed Revised APM 715 – Leaves of Absence/Family Medical Leave; Proposed APM 390 – Postdoctoral Scholars; Proposed Revised APM 740 – Leaves of Absence/Sabbatical Leaves; Racial Privacy Initiative/CRECNO; Proposed Revisions to APM 015 – Policy on Faculty-Student Relationships; Proposed Revised APM 310 – Appointment and Promotion, Professional Research Series; Proposed APM 311 – Appointment and Promotion, Project (e.g., *Scientist*) Series; Technical Changes to APM 620.14 – Off-Scale Salaries; Proposed Revised APM 010 – Academic Freedom; Proposed Amendments to Academic Senate Bylaws; Equivalent Status Rank for Cooperative Extension Specialists proposal; Campus 5-Year Perspectives for 2003-08; Preliminary Proposal Regarding Possible Incorporation of the Monterey Institute of International Studies into the University of California, Santa Cruz; and Increasing Access and Sustaining Excellence: A Budget Proposal from UCPB.

### **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, Academic Freedom Symposium Planning Committee, Council on Research, Industry-University Cooperative Research Program Steering Committee, National Laboratories President's Council, National Laboratories Science and Technology Panel, Subcommittee on

Research Initiatives, Scholarly Information Program Task Force, UC Merced Task Force, and the University Committee on Planning and Budget.

**Acknowledgment**

UCORP is grateful for the invaluable contributions made by the following members of the Office of Research: Lawrence Coleman, Vice Provost for Research; Rulon Linford, Associate Vice Provost for Research and Laboratory Programs; Susanne Huttner, Associate Vice Provost for Research, Major Research Initiatives and Industry-University Partnerships; Carol McClain, Director of Multicampus Research Programs; Cory Coll, Director of Laboratory Collaborations; and Cathie Magowan, Director of Science and Technology Research Programs and Initiatives.

Respectfully submitted:

Darrell Long, Chair  
Janis Ingham (SB), Vice Chair  
George Sensabaugh (B)  
Marion Miller (D, fall and winter)  
James Murray (D, spring)  
Alexei Maradudin (I)  
Hans Schollhammer (LA)  
Max Neiman (R)  
Henry Abarbanel (SD)  
Sharon Hall (SF)

Kimberly Peterson, Committee Analyst