

**Minutes of Meeting**  
**October 15, 2007**

**I. Welcome and Introductions**

*Jose Wudka, UCORP Chair*

*Members*

Chair Wudka provided an overview of the committee's duties as well as of issues expected to come before the committee this year, including the review of reviews, an assessment of the Division of Agriculture and Natural Resources (DANR), and the committee's on-going investigation into indirect cost recovery (see Item IV below).

**DISCUSSION:** One member inquired as to the procedure for review reviews. Chair Wudka indicated that depending on the unit being reviewed, the review could be initiated by the Office of the President, the Senate, or internally. Regardless, each entity will have the opportunity to opine on the review committee's findings and make additional recommendations.

**II. Consent Calendar**

- Minutes of meeting of June 11, 2007

**ACTION:** The consent calendar was approved as noticed.

**III. Consultation with Academic Senate Leadership**

*Michael T. Brown, Chair, Academic Council*

*Mary Croughan, Vice Chair, Academic Council*

*María Bertero-Barceló, Executive Director, Systemwide Academic Senate*

Chair Brown presented a summary of the Senate's role in University governance, generally, and UCORP's role in facilitating the research enterprise, specifically. He also mentioned several activities the Senate will undertake this year, such as streamlining Senate review procedures, monitoring the non-resident tuition policies enacted last year, and reviewing departmental and programmatic reviews. Vice Chair Croughan updated members on her role as chair of the Academic Council Special Committee on Lab Issues (ACSCOLI), and Executive Director Bertero-Barceló presented information regarding Senate protocol and procedures, stressing the importance of following travel reimbursement regulations carefully.

**DISCUSSION:** Members asked several questions regarding the current presidential search. Chair Brown outlined the Senate's role in the search process, and he emphasized assurances that the Senate's opinions will be highly respected in this matter. Chair Brown also stressed both his and Vice Chair Croughan's commitment to seeing an academic installed as president.

Members also inquired as to the current restructuring initiative under way at the Office of the President (OP) and how apparent contradictions, *e.g.* documented under-compensation versus public perception of over-compensation, might be resolved. Chair Brown indicated that the restructuring effort, which has been long-planned, is designed to improve the efficiency of OP. Resolving the disconnection between respect for the

University as an institution, on the one hand, and disdain for perceived University missteps, on the other, is considerably more difficult.

#### **IV. Indirect Cost Recovery (ICR), AKA Facilities and Administration (F&A) Costs**

*Jose Wudka, UCORP Chair*

**ISSUE:** Last year, UCORP initiated an investigation into ICR. Spurred in part by [The Future's Report](#), UCORP seeks to increase transparency regarding ICR so that faculty better understand it and so that the overall health of UC's research enterprise can be better assessed. At the end of 2006-07, UCORP submitted to the Academic Council an interim report recommending the formation of a joint work group with the University Committee on Planning and Budget (UCPB) to pursue this work.

**DISCUSSION:** Members raised several issues for the work group to address further: the actual cost of research (versus the negotiated rates), and the cost of research to the University; dollar-by-dollar tracking may be counterproductive; differential rates between campuses, as well as different rates for federal, state, and private sponsors; the disposition of funds varies by campus and even by department within a campus; the definition of "supporting the research mission" of the University.

**ACTION:** Chair Wudka will refine the charge to the work group and solicit volunteers via email.

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

*Larry Coleman, Vice Provost for Research*

*Ellen Auriti, Executive Director, Research Policy and Legislation*

*Dante Noto, Director, Humanities, Arts, and Social Science Research*

Vice Provost Coleman provided an overview of the Office of Research's structure, which includes policy and legislation on one side and research administration on the other. Vice Provost Coleman also indicated that the reconfiguration of his position into a vice presidency is intended to provide the office with greater external visibility; the addition of graduate student affairs to the position required a full recruitment effort. It is anticipated that the new vice president will be announced soon.

Executive Director Auriti updated the committee on several issues germane to UCORP's mission:

1. RE-89: At their September meeting, The Regents adopted a compromise position regarding the banning of accepting tobacco-related funds for tobacco-related research. In this compromise, implicated faculty must submit proposals to a pre-review and chancellors via the president must submit annual reports to The Regents detailing current projects being sponsored by tobacco-related industries.

However, Phillip Morris is discontinuing its external research programs, which may negate the issue as it is the only tobacco-related company currently sponsoring research at UC. The Office of Research will continue to monitor the implications of both the Regents' policy and Phillip Morris's discontinuation of sponsorship.

2. Restrictive Clauses: Certain sponsors insert restrictive clauses into research contracts which the University finds objectionable, such as clauses stipulating background checks, publication limitations, and similar actions. Both the AAU

and COGR are updating their report on this practice. Campus sponsored projects offices can also provide more information.

3. The Excluded Parties List: This is an old policy which governs who is eligible to receive federal research money. Those debarred may include known terrorists or someone who defaulted on student loans. Compliance and export control officers can provide more detailed information.
4. Stewardship of research data: The Office of the President is still developing guidelines to inform access and management of research data in which the University has a proprietary interest, including field notes, lab notes, student notes, etc., but not biological samples.
5. Proposed Public Utilities Commission (PUC) institute for climate solutions: PUC has proposed a \$600M/10 year research project to investigate California-specific climate-change related issues. There is concern over the RFP and its proposed funding; the proposal is available for public comment.
6. ICR: Concerning state-sponsored research where UC teams with a private institution, the private collects its full ICR, while UC collects none. This is due to long-standing political and accounting considerations: since UC's ICR would go to its general fund contribution, requesting ICR monies from the state would yield no net increase in funding to UC. That is, the state has X dollars for UC—whether it comes in the form of ICR or generic General Fund monies is immaterial since the total influx from the state will not change. Thus there is no incentive for UC to claim its ICR in some instances.

Director Noto updated the committee on the Multi-Campus Research Unit (MRU) Advisory Board. This group formed following the work of a joint Senate-Administration work group's recommendations ([here](#)), and it is charged to create opportunities for new research by reconfiguring MRU funding mechanisms. At present, the chief obstacle is one of perception: disestablishment of extant MRUs is not the goal; facilitating their self-sufficiency is. Doing so would allow for new investments in emerging research fields.

## **VI. Systemwide Review Items**

1. [The Role of Graduate Students in University Instruction, CCGA/UCEP Report and Proposal](#).  
**DISCUSSION:** Several members voiced concern that this measure may imply a shift in focus for graduate students from research to teaching assistance.  
**ACTION:** Representative Groves (UCSD) will draft a cautionary statement outlining the committee's concerns.
2. [Proposal to Reform UC's Freshman Eligibility Policy](#)  
**ACTION:** The committee elected not to opine on this item.
3. [Proposed Amendments to Senate Regulation 636, out for Senatwide Review](#)  
**ACTION:** The committee elected not to opine on this item.

## **VII. UCORP Representation on Other Committees**

1. Academic Council  
*Jose Wudka, UCORP Chair*  
Chair Wudka outlined the mission of the Academic Council and highlighted some issues from the September 26 meeting: Two hours of sexual harassment prevention training is required by state law for all managers, which UC has

defined so as to include all faculty. Academic personnel completion of the online training is only 85%. Also, fiscal concerns came before the Council in terms of campus-based salary stratification (beyond cost-of-living differences) and the looming statewide budget crisis.

2. Academic Council Special Committee on Lab Issues (ACSCOLI)

*Jose Wudka, UCORP Chair*

The purpose of this committee is to monitor and improve relations with the limited liability companies (LLCs) now administering the national labs with which UC has historically been affiliated. A primer on the management contracts is available [here](#). Issues ACSCOLI will address this year include the unilateral extension/withdrawal provisions of the contracts and the evolving tripartite relationships between the University and the LLCs and the lab managers. Also, Chair Wudka referenced the following website as an information item for interested parties: [http://www.search.com/reference/Nuclear\\_weapon\\_design](http://www.search.com/reference/Nuclear_weapon_design).

3. Industry-University Cooperative Research Program (IUCRP) Steering Committee

*Hans Schollhammer, UCORP Liaison to IUCRP and UCLA Alternate*

Professor Schollhammer provided an historical overview of IUCRP, AKA the Discovery Grants program, as well as his work on the Steering Committee. Recently, IUCRP has launched a Fellows program designed to increase visibility of the Discovery Grants on the campuses. This program is beginning its second year.

**ACTION:** Professor Schollhammer will continue to represent UCORP on the IUCRP Steering Committee and update UCORP on their actions.

4. Technology Transfer Advisory Committee (TTAC)

*Hans Schollhammer, former UCORP Liaison to TTAC and UCLA Alternate*

Professor Schollhammer outlined the work of TTAC, indicating that it meets only twice annually and is not a decision-making body; rather, it serves as a means for dissemination of information. (See also Distribution 1.)

**ACTION:** Chair Wudka will solicit via email a volunteer to represent UCORP on TTAC.

5. MRU Advisory Board

*James Carey, UCORP Representative to the MRU Advisory Board and UCORP Vice Chair*

Vice Chair Carey outlined the work of the MRU Advisory Board to date (see also Item V above). Among the proposed new methods of engaging in new research are the development of research themes under which an RFP may be issued and targeted invitations to submit research plans. All new MRU proposals must include a financial plan for attaining self-sufficiency in either 7 or 12 years (5 or 10 years secured funding and a 2 year transition period).

**DISCUSSION:** Members noted that some current MRUs may never be able to achieve financial independence and that others may vigorously resist efforts to withdraw UC funding. Members further noted that many MRUs are not readily comparable, which will make a competitive funding process difficult.

## **VIII. New Business**

None.

Distribution:

1. (Updated TTAC information, from email to KDF 10/11/07)

Meeting adjourned at 3:45.

Prepared by Kenneth Feer, Committee Analyst

Attest: Jose Wudka, UCORP Chair

Appendix: Attendance Record