

**Minutes**  
**Committee on Research**  
**November 18, 2008**

The Committee on Research (COR) met at 2 p.m. on Tuesday, November 18, 2008 in 307 Kerr Hall.

Present: Phokion Kolaitis, Chair, Donka Farkas, Carla Freccero, Donna Hunter, Judit Moschkovich, Sriram Shastry, Holger Schmidt.

Absent with notice: Shaowei Chen, Meg Wilson.

Guests: VCR Bruce Margon, Acting Director of the Office of Intellectual Property (OMIP) Vanessa Tollefson.

The Minutes of October 28, 2008 were approved.

Chair's Announcements: 1) At both SEC and UCORP the state budget is one of the main items of discussion. The UC budget remained the same from last year which was a de facto cut considering inflation and unfunded growth at all campuses. In particular, UCSC took approximately 350 new unfunded freshmen; system-wide unfunded growth reflected a \$100M shortfall. (Furthermore, "summer melt" on graduate acceptances netted 30+ less graduate students than expected, increasing the undergraduate/graduate ratio.) An additional cut is expected mid-year locally. At the last UCORP meeting, it was reported that if the UC budget were fully funded as it should be, it would cost the state another \$900M. 2) Chancellor Blumenthal is working closely with the proposal for the NASA Park plan as a limited liability corporation including residential, research and high-tech incubator centers, due to be finalized by 12-31-08. Should this agreement be reached, COR would like to invite a representative of the administration to give COR an overview of the agreement. 3) COR will be looking in more depth at the accountability framework which really needs more analysis and an executive summary to reflect values in the framework, as well as research-meaningful measures such as publications, # of citations, and "normalization" for small campuses. 4) UC Vice President for Research and Graduate Studies Beckwith will be sending out the call for \$20M in funding for all existing and new MRU proposals systemwide (with the exception of UCO Lick and White Mountain). 5) An effort is under way to upgrade UCSC's web presence; several Senate committees will be following this closely.

New Teacher Center Review

COR discussed the draft COR response for the New Teacher Center (NTC) noting that many of the significant issues are out of range of COR's expertise (sustainable funding, fiscal impacts of separation for the Social Sciences Division). Regarding research, the ERC recommended that the small part of the NTC that is focused on research should stay within the Division, if NTC were to become an independent non-profit organization in a "spin-off" arrangement. Understandably, any future action would have to fundamentally

involve the faculty of Education. A revised draft will be circulated to COR for final comment/approval.

### Consultation with OMIP Acting Director Tollefson

The Committee introduced itself to Director Tollefson and asked for information about the work of her office, the challenges they face, and any suggestions for an educational forum for faculty on IP issues.

The Director informed COR that the office consists of just two FTE and then outlined the relationship part of agreements/contracts with industry and government that OMIP is responsible for and which was noted to be a “substantial” number. These relationships span a wide spectrum, including memoranda of understanding, industry-sponsored research agreements, licensing agreements, material transfer agreements, inter-institutional agreements, copyright agreements, and confidentiality agreements. The full industry-university agreement process can take 6-8 months. The other side of the office’s work is with patent portfolio management (ongoing, not just set-up work). The first part of the patent process is disclosures which the office sees 25-35 annually. The full patent process takes 5-6 years and is a costly process. VCR Margon interjected that UCSC has the “distinction” of running the least deficit of any of the campuses. It is not an income-generating process and involves at least minimal external legal review. Considering that the campus does not focus on one specific area but multiple disciplines, a “standard” internal process for evaluating invention disclosures is not applicable.

The challenges to the office are getting UCSC “standard” and industry “standard” agreements negotiated for cooperative success. Some UC standards are not negotiable, such as faculty surrendering publishing authority, restrictions on the nationality of faculty/students working on projects, and the disallowance of “classified research” at UCSC. The position of the Office of Research is that it is protecting the taxpayers from “giving away” UCs main asset of the “production of knowledge”. Education for faculty would be helpful to ensure faculty cooperation with strict regulations, expected timelines, non-negotiable areas, etc. Another challenge is to improve industry relationships and alleviate the perception that UC is difficult to work with.

Several ideas and suggestions for a faculty IP forum were offered by both Acting Director Tollefson and COR members:

- Divisional specificity, instead of a general forum for all divisions.
- Invite a speaker from a participating attorney’s office or an IP attorney from an industrial research laboratory in the area.
- Seek to involve the academic deans.
- Deconstruct a real-life case study and work through it.
- Identify what the faculty ought to know about IP issues and circulate a flyer with questions: “Do you know the answers to ...?” or “ Is this important for you?”

The Committee thanked Director Tollefson for her very informative presentation.

Consultation with VCR Margon

The Committee began discussion on the issue of allowing post-docs to serve as PIs (principal investigators) on extramural grants, which it will take up again for a longer conversation later in the year. [After the meeting it was clarified that policy on PI status is Regental.] While the policy states that a PI must be a member of the Senate or supported at least at 50% or more on State general funds, campuses have the right to grant waivers. At UCSC, the VCR is the delegated official for that approval. VCR Margon would like to continue discussion on what might constitute examples of when waivers seem indicated.

COR members suggested allowing post-docs to serve as “co-PIs”. Members of the Committee felt that a co-PI would not be “responsible” for reporting or for the fiscal management of a project. The “mentoring” of post-docs is a cloudy issue as well. The results of unionization and contract negotiations may address some of these issues. The Chair reminded members that oversight for post-docs resides in the Division of Graduate Studies and Graduate Council, though research implications are obvious for COR.

The meeting adjourned at 3:40 p.m.

So attests,  
Phokion Kolaitis, Chair  
Committee on Research