

REVISED AGENDA COMMITTEE ON RESEARCH (COR)**Wednesday, November 19, 2014****3:00 – 4:30 pm****KL 324****[UCMCROPS/COR1415/Resources](#)****I. Chair's Report – David Noelle**

A. Updates from UCORP meeting on November 10

B. Updates from the Meeting of the Division on November 14

II. Vice Chair's Report – Deborah Wiebe

Updates from UCOLASC meeting on October 31

III. Consent Calendar

Approval of November 5 meeting minutes.

Pg. 1-5**IV. Preliminary ORU Proposal****Pg. 6-10**

Background: at the last meeting, COR discussed a request it received from a unit in SSHA to provide preliminary feedback on a strategic academic focusing proposal. The unit intends to convert the document into an ORU proposal. COR agreed to provide comments with the caveat that feedback will be brief and does not constitute Senate approval. A COR member volunteered to lead the review.

Proposal can be viewed on page 3 of the SFI portal website: <http://open-proposals.ucsf.edu/ucmerced/saf2020/proposal/12000>

Action: COR lead reviewer will present comments. COR will transmit a memo to the proposing unit along with the approved versions of the SNRI and HSRI ORU proposals.

V. Library Issues**Pg. 11-21**

Background: in AY 13-14 the Senate-Administration Library Working Group recommended to the Provost/EVC and Senate Chair that Merced establish a standing Senate committee on library and scholarly communications similar to that of other UC campuses. Division Council will vote on this proposed new committee this academic

year. Library issues are currently submitted to COR for consideration. Recently, faculty members in SSHA expressed concern that due to the Library's lack of adequate funding, the Library cannot acquire many needed hard copy volumes nor can it provide access to many e-books.

Action requested: COR to draft a memo to Division Council about the need for a standing Senate committee for library and scholarly communications issues. COR will send a memo to Division Council reiterating the importance of establishing a standing Senate committee on library and scholarly communications. The memo will also include the option of forming a subcommittee from current members of COR, UGC, GC, and CAPRA. The memo will be discussed and finalized at the November 19 meeting.

VI. Limited Submission Proposals

Pg. 22-23

Background: VCR previously submitted to COR a memo detailing the current process for limited submission proposals.

Action requested: COR to review the VCR's memo and provide recommendations on the process.

VII. Senate Faculty Grants Program

Pg. 24-41

Discussion: continued discussion on program goals. In the last meeting, COR members agreed to review the university-wide principles, drafted in June 2012, that guide UCOP-funded research programs. These principles will aid COR in drafting its memo to the Provost/EVC that details the long-term goals of the Senate faculty grants program and the needed for additional funding.

Other relevant background documents, including the previous awardees, proposals, and calls, as well as information from the other UC campuses, are posted at:

UCMCROPS/COR1415/Resources/Faculty research grants

VIII. Systemwide Review Item

Pg. 42-56

Proposed new policy on Open Access for non-Senate members.

Action requested: COR to review the proposed policy and provide any comments by January 6, 2015.

IX. Other Business

X. Informational Item

- A. The December 3 COR meeting will include Vice Chancellor for Business & Administrative Services Michael Reese, AVC for Budget & Planning Donna Jones, and Controller Michael Riley, who will provide updates on the indirect cost return model and emergency funding for faculty.

Committee on Research (COR)
Minutes of Meeting
November 5, 2014

Pursuant to call, the Committee on Research met at 3:00 pm on November 5, 2014 in Room 360 of the Kolligian Library, Chair David C. Noelle presiding.

- I. Guests – Susan Carter, Director of Research Development Services; Thea Vicari, Director of Sponsored Projects Services, Autumn Salazar, Director of Research Accounting Services, and Susan Borda, Project Manager in the Office of Research presented COR members with an update on the new grants management system.

Director Salazar announced that the campus has acquired new software that will make the grant submission process more efficient for faculty. Director Vicari briefly provided a historical overview of the grants submission process on campus: all grant proposals used to be submitted through the Sponsored Projects office before the Research Administration unit evolved. Research Administration requested that the VCR launch an external review of the unit to improve its own operations. The Research Administration unit worked with various constituents across campus, including the school deans, on implementing the review team's recommendations. The major recommendation was to form an 'ecosystem' of extramural research funding services, integrating proposal development, proposal submission, and award management.

Research Development Services (RDS) now has a 6 member staff that assists faculty with preparing proposals. RDS staff work with faculty in the schools and ORUs, conduct strategic initiatives and training sessions, and identify extramural and internal funding opportunities. RDS is the first point of contact for faculty who are seeking assistance with proposal development. RDS also helps keep faculty compliant by assisting with PASS forms, drafting non-technical components of proposals (e.g., budgets), and ensuring that the review criteria in Requests for Applications (RFAs) are met.

The Sponsored Projects Office (SPO) then reviews submitted proposals from RDS and helps negotiate terms and conditions of awards with the sponsor if necessary. SPO works on behalf of the Regents.

Once an award is obtained, the Research Accounting office takes over by establishing an FAU, handling invoices, submitting financial reports on behalf of the university, and ensuring that faculty complete their effort reporting. Research Accounting also has research administrators in each school; their role is to provide post-award assistance for faculty including tracking faculty's spending, advising faculty on whether to request an extension, and tracking the staff that faculty are employing under their grants in order to use that same information for future proposals. The ultimate goal is to establish uniform functions for all school research administrators.

Susan Borda then provided an overview of a recently deployed electronic grants management system which has two parts. The first component, 424, allows SPO to electronically submit proposals, providing an interface to services like grants.gov. Faculty can also access 424. The second component, SP, is intended for internal record keeping: it is used for generating internal data for reports required by UCOP and for relevant analytics. SP allows SPO to see where RDS is in the submission process and allows for additions to be made to proposals. Eventually, the paper PASS forms the campus currently uses will be disestablished in favor of the new electronic system. 424 and SP communicate with each other but provide different services.

The plan is to pilot the new two-part system with one school by January 2015, and, if it is successful, the system will be fully deployed in Spring 2015. VCR Traina stated that 424 is similar to NSF Fast Lane. Faculty may upload multiple bio-sketch documents to the system, and these are stored so that faculty can later simply choose which they want to use for a given proposal. Five other UC campuses are using 424 and two other campuses are ready to make the transition. 424 supports almost all federal grants forms including a few that are not accepted by grants.gov. There are exceptions, such as the California Energy Commission grants which will still require the use of Fast Lane.

VCR Traina mentioned that ORUs, in addition to faculty in the schools, will use the new system and there will be online and in-person training sessions offered through RDS. He reiterated that the implementation of the new system will occur in phases, with the pilot school using the system in January 2015. VCR Traina also requested COR's input concerning how to best communicate to the faculty important aspects of this deployment. In addition, Borda offered to attend a future COR meeting to demonstrate the new system for the committee, allowing COR to provide feedback concerning the system.

Director Carter pointed out that faculty have the option to not use RDS at all. Faculty can ask SPO to submit a proposal for them with no review, even with very little advance notice, provided that faculty understand that any errors contained in the proposals are their responsibility.

COR members shared their past challenges with RDS and SPO including lack of communication and broken links on websites. The RDS and SPO directors encouraged faculty to contact them directly with any problems and they will be rectified as quickly as possible.

ACTION: Director Carter will send COR analyst her draft communication to faculty on the timeline of the rollout of the new grants management system. Director Vicari will send COR analyst the review team recommendations from the prior review of the Research Administration unit. COR analyst will invite Susan Borda to a future meeting to demonstrate the new system.

II. Chair's Report

Chair Noelle updated COR members on the November 5 Division Council meeting:

--Vice Provost for Faculty (VPF) Camfield, on behalf of the Provost/EVC, requested faculty volunteers to lead and facilitate meetings of faculty members associated with each area identified by the recent strategic academic focusing initiative, allowing the faculty in each area to further develop and refine the characterization of their area.

--There was further discussion on the parking challenges and Division Council will submit a memo to this effect.

--Library staff delivered a presentation on the open access policy that will take effect in January 2015. Funds are no longer available to pay for faculty's open access fees. There was a discussion about eScholarship, which provides open access scholarly publishing services to the UC. There is also an opt-out choice for faculty who do not want their publications available in open access format. Lastly, the Library will make available a harvesting tool that finds papers published by faculty and suggests placing the papers in the eScholarship database.

--Last year's Senate-Administration Library Working Group recommended that the Senate establish a new standing committee on library and scholarly communication issues. The recommendation was endorsed by other Senate committees. Division Council voted against the recommendation at this

- meeting owing to a lack of resources. COR currently handles all library and scholarly communication issues.
- Division Council approved the split of FWDAF into two committees.
 - Division Council approved the granting of a stipend to the general education subcommittee chair.
 - Several undergraduate programs will be reviewed this year and one graduate program is scheduled for review.
- III. Vice Chair's Report – Deborah Wiebe
Vice Chair Wiebe participated in the October 31 UCOLASC meeting
- ACTION:** Vice Chair Wiebe's updates were tabled until the November 19 meeting.
- IV. Consent Calendar
ACTION: October 15 meeting minutes were approved as presented.
- V. ORU Preliminary Proposal
COR previously agreed to provide cursory comments on a strategic academic focusing proposal that is being transformed into a possible ORU proposal with the caveat that COR's comments do not represent Senate approval.
- ACTION:** COR's discussion of the proposal was tabled until the November 19 meeting.
- VI. Library Issues
COR heard concerns from faculty members in SSHA pertaining to the Library's lack of adequate funding. The Library cannot acquire many needed hard copy volumes nor can it provide access to many e-books.
- COR discussed the need for a standing library and scholarly communications committee as well as the option of creating a library subcommittee from the current COR membership. COR members pointed out that the interviews for the permanent head librarian will begin in December and it is important for to have a dedicated Senate library committee in place.
- ACTION:** COR will send a memo to Division Council reiterating the importance of establishing a standing Senate committee on library and scholarly communications. The memo will also include the option of forming

a subcommittee from current members of COR, UGC, GC, and CAPRA. The memo will be discussed and finalized at the November 19 meeting.

VII. Systemwide Review Items

--Proposed revisions to APM 133, 210, 220, 760.

ACTION: Senate Chair will be informed that COR has no comments.

--Proposed revisions to APM 80 and 330.

ACTION: Senate Chair will be informed that COR has no comments on the proposed revisions to APM 80. COR will draft a support memo for APM 330 and submit by the November 21 deadline.

--Proposed Amendment to Senate Regulation 682.

ACTION: Senate Chair will be informed that COR has no comments.

There being no further business, the meeting adjourned at 4:30 pm.

Attest: David C. Noelle, COR Chair

Minutes prepared by: Simrin Takhar, Senate Analyst

Submitted by Fanis Tsoulouhas (UC Merced) on November 15, 2013 - 1:10pm
Last revised by Fanis Tsoulouhas on May 2, 2014 - 6:20pm.

Proposal Status:

Open

Principal Authors:

- Fanis Tsoulouhas, Ruiz Family Professor of Entrepreneurship, SSHA

Collaborators, Affiliates and Endorsers:

- Paul Almeida, Associate Professor of Sociology, SSHA
- Brian O'Bruba, Director of Career Services Center
- Christopher Butler, Assistant Dir. of The Foster Family Center for Engineering Service Learning
- Elliot Cambell, Associate Professor of Environmental Engineering, SOE
- YangQuan Chen, Assistant Professor of Mechatronics, SOE
- Yihsu Chen, Associate Professor of Energy and Environmental Policy, SOE and SSHA
- SA Davis, Lecturer of Management, SSHA
- Robin Delugan, Associate Professor of Anthropology, SSHA
- Sarah Depaoli, Assistant Professor of Quantitative Psychology, SSHA
- John Kennedy Haner, Lecturer, Merritt Writing Program
- Mark Harris, Lecturer of Management, SSHA
- Evan Heit, Professor of Cognitive Science, SSHA
- Dan Hirlleman, Dean of Engineering, SOE
- Diane Howerton, Regional Director, UC Merced SBDC Regional Network
- Haifeng Huang, Assistant Professor of Political Science, SSHA
- Roummel Marcia, Associate Professor of Applied Mathematics, SNS
- Steve Roussos, Interim Executive Director, The Blum Center
- William Shadish, Professor of Quantitative Psychology, SSHA
- Gorge Sirogiannis, Lecturer of Management, SSHA
- Jian-Qiao Sun, Professor of Mechanical Engineering, SOE
- Alex Theodoridis, Assistant Professor of Political Science, SSHA
- Zulema Valdez, Associate Professor of Sociology, SSHA
- Craig Vilhauer, Lecturer of Management, SSHA

Executive Summary:

The Entrepreneurship Research Institute (ERI) can be the University's vehicle for: (a) the promotion of research in Entrepreneurship, broadly defined; (b) fostering interactions and developing partnerships with the business community; and (c) engaging the local community. The institute will undertake cutting edge research in Entrepreneurship, raise the profile of UC Merced in the business community and facilitate student placement and fund-raising, as well as engage the local community in entrepreneurship activities and related opportunities in the area. **UC Merced can become an *entrepreneurship hub* and a *business incubator*. Whereas we may not**

be able to replicate the success of Silicon Valley, it does cost a lot less to start up a company in Central Valley than in Silicon Valley.

Initiative Description:

A. Executive Summary

The Entrepreneurship Research Institute (ERI) can be the University's vehicle for: (a) the promotion of research in Entrepreneurship, broadly defined; (b) fostering interactions and developing partnerships with the business community; and (c) engaging the local community. The institute will undertake cutting edge research in Entrepreneurship, raise the profile of UC Merced in the business community and facilitate student placement and fund-raising, as well as engage the local community in entrepreneurship activities and related opportunities in the area. UC Merced can become an entrepreneurship hub and a business incubator. Whereas we may not be able to replicate the success of Silicon Valley, it does cost a lot less to start up a company in Central Valley than in Silicon Valley.

B. Thematic Area

The primary thematic area is "Innovation and Entrepreneurship", but our proposal spans across other themes such as "Information, Computational and Data Sciences, and Engineering", "Disparities: Equity, Diversity, Social Inequality", "Environmental Sustainability", and "Energy and Energy Systems".

C. Intellectual Components of the Strategic Initiative

The Entrepreneurship Research Institute (ERI) aims at providing a collaborative and interdisciplinary environment fostering new research contributions related to Entrepreneurship and Business Administration, including small business administration and agribusiness, along the lines of business organization and governance, decision making, financial management, uncertainty, risk-taking and enterprise risk management, business strategy and game theory, economics of information, team-building, innovation and information diffusion, human resource management and incentive provision, environmental policy and sustainability, organizational behavior, business ethics and business communication. Emphasis will be placed on agribusiness and agricultural product processing, winery operations management, management of sustainable energy and water technologies, and micro-financing. We aim at stimulating new sources of funding facilitating research which will lead to publications in major scientific journals, supporting existing funded research, and supplying research techniques or services to faculty groups. We will also emphasize quantitative methods (including modeling, optimization, numerical data analysis, simulation techniques and statistical estimation) in our research, which is rapidly becoming a uniform theme across campus (see related proposals, such as the Statistical and Quantitative Research initiative of the Center for Statistical and Quantitative Research (CeQR)). Quantitative Methods can be a cross-campus initiative that will bring distinction to UCM.

The research focus of the institute stems from the existing expertise of the collaborators in this proposal, as well as from their future research plans. Specifically, the collaborators in this proposal have a proven track record in research related to executive promotion and compensation, performance pay and incentives, relative performance evaluation, limited liability and bankruptcy, organizational structure, labor

and credit contracts, capital structure, individual and group decision making, computational modeling and data sciences, stochastic systems, Monte Carlo simulations and multi-objective optimization.

The collaborators and affiliates in this proposal are also interested in pursuing research on micro-finance and crowd-funding with applications to Central Valley. Some of the collaborators submitted a grant proposal to CITRIS focused on micro-financing in Central Valley as a facilitator of growth. Another group of collaborators recently submitted a grant proposal to USDA-NIFA-HSI on innovation and entrepreneurship programs for Hispanic College students to be involved in the agricultural (precision agriculture and unmanned drone programs) and food processing industry (Gallo and Foster Farms) of the Central Valley. And other members are engaged in the areas of knowledge diffusion, data sciences, interactive uses of technology, as well as Federal relations in general.

We will work closely with the Office of Research to seek funding from sources such as CITRIS, Blum Center, NSF etc. in order to undertake research projects in the research focus areas above. We will seek industry funding to establish **conferences and workshops on innovation, entrepreneurship and finance.**

We will work with COR, GC, CAPRA, UGC and DivCo to create a research center that will operate as an organized research unit (ORU) and will be open to all faculty and students across disciplines with an interest in research related to all aspects of innovation, entrepreneurship and the management of organizations, as well as staff that deals with businesses in their University capacity. We will request the Chancellor to appoint an Advisory Committee. We envision working with a variety of business organizations and recognized business leaders nationally and in the state, along with the Office of Research and Economic Development, so that **UC Merced becomes an entrepreneurship hub and a business incubator. Whereas we may not be able to replicate the success of Silicon Valley, it does cost a lot less to start up a company in Central Valley than in Silicon Valley.** If we focus on our competitive advantage, producing innovations in the areas of agribusiness and agricultural product processing, winery operations management, and management of sustainable energy and water technologies, we will put Merced on the map.

Whereas several units on campus are engaged with entrepreneurship issues, there is no uniform representation of these activities. The institute we propose will provide an umbrella to coordinate all these activities, facilitate cooperation and enable seeking additional funding. We aim at working with all three schools on campus, as well as with SNRI and HSRI to this end. Given the University's mission, we will also provide an environment where diversity in all its forms is embraced.

As acknowledged by the Management Program Review, UC Merced's Management Program must develop reciprocal relationships with business and community leaders. In this respect, we propose to work closely with the Career Services Center, Development and Alumni Relations, Corporate Relations, CITRIS, the Margo F. Souza Leadership Center, the Small Business Development Center at our Fresno facility, the Engaged Transformation of Poverty (ETP) in the San Joaquin Valley initiative, the "Global

California: The World at Home” initiative, the Blum Center and the Foster Family Center along the following lines: (i) investigate the needs of the state businesses; (ii) support small businesses in the area; (iii) organize business days on campus with Career Services and Development for various businesses that include a panel discussion of the employment needs of the company and of what UC Merced has to offer (similar to the Gallo day Career Services recently organized), with student involvement and recent recruit involvement; (iv) organize classroom visits and interactive sessions for business community members; (v) facilitate student involvement with business projects; (vi) facilitate faculty and student internships with local companies similar to the ones recently secured with Gallo and HotChalk; (vii) investigate fund-raising possibilities with Development among local businesses and entrepreneurs; and last but not least (viii) engage the local community to embrace business development opportunities. We also propose to work closely with students and support their efforts (for example, the student led Entrepreneurial Society Club, the Investment Club (sponsored by Mark Harris), the Business Society, and a new student publication in the works entitled Management Review).

As part of the functions of the institute, we propose to create distinguished speaker series, in cooperation with Career Services and Development, and with financial support from the local business community, which may include: (a) a **Leadership Series** designed for high-profile business or community leaders; (b) an **Entrepreneurship Series** designed for entrepreneurs and business managers. We will also support academic, community and student conferences on themes in entrepreneurship, including (for example) the annual Entrepreneurial Seminar and Pitchfest in collaboration with the Merritt Writing Program and the Entrepreneurial Society of UCM (TESUM), a student led club.

Last but not least, the institute will work closely with all existing Schools (SSHA, SOE and SNS) as well as with the E&J Gallo Management program, and will operate under the auspices of the new School of Innovation, Management & Economics when it is established.

D. UCM's Relative Role

UCM is uniquely positioned to becoming an entrepreneurship hub for Central Valley given its focus on cutting-edge research embracing innovation and entrepreneurship. The emphasis of our proposal on small business administration, agribusiness and agricultural product processing, winery operations management, management of sustainable energy and water technologies, and micro-financing not only will distinguish UC Merced from other UC campuses, but it will spearhead development and growth in Central Valley. Our proposed institutions and programs will exploit all synergies across campus and build on existing strengths in technology, engineering and natural science fields.

Programs that relate to what we propose are the Yale Entrepreneurial Institute, the Entrepreneurship and Innovation Institute at Cornell University, and the Deloitte Institute of Innovation and Entrepreneurship at the London Business School. However, none of these institutes have the unique focus we propose above on small business administration, agribusiness and agricultural product processing, winery operations

management, management of sustainable energy and water technologies, and micro-financing.

E. Faculty Participation

The Gallo Management program has about 370 undergraduate students currently. With a projection of 9,000 undergraduates, Management should have about 800 students who can benefit from the proposed initiatives. Related fields in Economics, Applied Math, Engineering, Sociology, Political Science and Psychology can also benefit. We will explore all possible links to undergraduate and especially graduate education. Specifically, we will work with Economics, MBE and MIST in curriculum planning.

F. Special Programmatic Needs

Distinguished programs require distinct foci and distinguished faculty. However, Institutes cannot hire faculty directly (however, we do encourage hiring in fields related to Entrepreneurship such as Financial Management or Asset Pricing and Investments or Marketing). Administrative support, space, and operating funds will be needed for the Institute. University, grant, and endowment support will be sought for the Institute's activities.

Other Supporting Documents:

 ucm2020metricseri.xlsx

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November 19, 2014

To: Jian-Qiao Sun, Chair, Division Council

From: David C. Noelle, Chair, Committee on Research (COR)

A handwritten signature in cursive script that reads "David C. Noelle". The signature is written in black ink on a white rectangular background.

Re: Establishment of Standing Senate Committee on Library & Scholarly Communication

It is the understanding of the Committee on Research (COR) that Divisional Council is continuing to deliberate concerning the establishment of a UCM Academic Senate Library and Scholarly Communications Advisory Committee (LSCAC), as recommended by last year's ad hoc Senate-Administration Library Working Group. It is our understanding that this matter was tabled at the November 5, 2014, meeting of the Divisional Council, pending further consideration. When the establishment of LSCAC was proposed last year, it was broadly supported by UCM Academic Senate committees. Given this support, COR reiterates its strongest recommendation that this new committee be promptly established.

The monitoring of library issues is currently one of COR's charges. It is clear, however, that supporting research activities is only one part of the library's mission. Issues involving both undergraduate and graduate education, as well as the intelligent allocation of limited campus resources (including space), should also influence the guidance provided by the Academic Senate to the Administration concerning the campus library. Also note that key members of the Administration associated with library issues do not sit as ex officio members of COR.

This is a difficult and transitional time for the UCM Library. It is currently battling increasing costs with limited resources. These battles are being fought over both physical and electronic resources. For example, access to electronic books from Cambridge University Press and Oxford University Press have recently been curtailed due to increases in Short Term Loan fees charged by these and other major

publishers. These challenges are arising just as a new permanent University Librarian is being recruited. This is the time when input from the Academic Senate is most needed.

COR recognizes that the establishment of LSCAC introduces some resource issues for the Academic Senate, but these issues should not be overstated. The ad hoc Senate-Administration Library Working Group suggested that LSCAC meet only once or twice per semester. Thus, faculty commitment to this committee might involve as few as two meetings per year. The needed staff support would be similarly low, and the current COR Analyst, Simrin Takhar, has expressed eagerness to support a newly formed LSCAC. COR holds that the benefits of appropriate library guidance from the Academic Senate, representing research, educational, and resource management concerns, is well worth these meager resource needs, particularly at this time of transition in UCM Library leadership.

COR appreciates this opportunity to communicate the importance of this issue.

cc: COR members
Division Council members
Senate Office

Academic Senate-Administration Library Working Group Final Report

The Academic Senate-Administration Library Working Group (LWG) met three times during the 2013 Fall Semester to address the items in its charge. In addition, the LWG solicited comments from stakeholders from the faculty, student body, and administration.

The LWG reached consensus on two matters. First, the library is an academic unit and the library budget needs to grow significantly in order to reflect past growth at UC Merced and to keep pace with continued growth. The current budget is not adequate to meet the diverse requirements for print and digital information and scholarly communication at a research university, nor to address inflation in scholarly information costs. Second, the LWG strongly supports the creation of a permanent Library and Scholarly Information Advisory Committee with a membership and charge akin to such committees at other UC campuses (see Appendix A). The Library and Scholarly Information Advisory Committee should be charged with addressing the major library issues and potential directions that the LWG surfaced, which include:

Budget

- How, and how much, to grow the library budget and staff to support all areas of activity as the campus adds faculty, students, and new programs.
- Potential budget impacts of open-access publishing, cost inflation of scholarly information, and changing models for acquiring and accessing information.

Space and Infrastructure

- Library public spaces are being used at maximum capacity.
- Space for printed books. There is sufficient stack space to get to 2020, but space needs for 2030 and beyond are uncertain.
- There is not enough space for physical non-book materials to get to 2020, such as manuscripts, university archives, art work, and realia.
- There is a need for digital labs and workspaces, staff and network/hardware infrastructure for digital collaboration and for activities such as data curation. Campus core facilities with missions synergistic to the library (e.g. digital humanities, spatial analysis) could be located in the library.
- Possible solutions include (re)claiming space in Kolligian Library Building or creating library common spaces in new buildings.

Non-Commodity Information

- Non-commodity information is any campus-generated information (physical or digital) for which the campus or individual researchers retain or are granted usage rights.
- Assist researchers in handling non-commodity content through the entire lifecycle of collection, digitization, design, analysis, sharing, discovery, and archiving.

- Management of digital and physical non-commodity information produced as the result of research, instruction, or campus initiatives to digitize and/or preserve non-university information.

Educational Role

- Develop research-ready students (undergraduate and graduate) who have the skills to discover, access, evaluate, and apply information throughout their scholarly, professional, civic, and personal lives.
- Identify and acquire core print and digital collections that are adequate and systematic in coverage and appropriate to student learning and research in all disciplines and at all levels from general education through Ph.D.
- Respond to newly enhanced WASC requirements for information-literacy outcomes and provide in-person and online information-literacy instruction.
- Provide library support for online courses as they emerge.

Research Role

- Support campus research by developing mechanisms to identify collection needs and by providing access to adequate and comprehensive print and digital resources appropriate to all disciplines at the university, as well as aiding in managing the non-commodity information (data, print, other formats) produced by university researchers.
- The growth of the library staff should reflect the expertise needed to support faculty and student research and publication in all forms and disciplines.
- The library itself could be studied by researchers interested in organizational management, economics, educational outcomes, etc.
- The library should be a partner in research projects that would benefit from librarian input and expertise.

Library and Scholarly Communication Advisory Committee

We propose the establishment of a Senate standing committee, the Library and Scholarly Communication Advisory Committee (LSCAC). We believe that a free-standing LSCAC will best meet the needs of the campus, since the issues that such a committee will address are unique to this domain, and since the ex officio membership of this committee will not overlap with that of other standing committees. However, if it proves difficult to staff a free-standing LSCAC, we note that it would be feasible to make the LSCAC charge a part of the Committee on Research charge (as at UC Irvine, see Appendix A), presumably with the LSCAC a semi-autonomous subcommittee of CoR. We note further that LSCAC will generally need to meet only once or twice per semester.

The LSCAC will, of course, aid the library by serving as a two-way conduit for mutual exchanges of information and ideas between the library and its stakeholders. In keeping with such committees on other UC campuses, the committee will advise the Chancellor regarding administration of the Library, and, in accordance with the

Standing Orders of the Regents, advise the University Librarian regarding acquisition, storage and provision of library holdings; and to perform such other duties relative to the Library as may be committed to the Senate by proper authority. The committee will participate with the University Librarian in matters relating to the library budget, the formulation of library policies, the allocation of space, and the apportionment of funds; and will prepare and submit to the Division an annual report on financial problems, allocation of space, facilities for research, and any other matters within its jurisdiction. The LSCAC will also advise the library on matters of importance to the university community, and will liaise with the CIO on matters related to research computing. Finally, the LSCAC will study and report on issues of scholarly communication, including technology, publishing, teaching, archiving, and copyright. The LSCAC promotes education and advocacy for matters concerning the library and scholarly communication.

The proposed membership of the LSCAC is as follows:

- Faculty member representing the Academic Senate Committee on Research
- Faculty member representing School of Social Sciences, Humanities, and Arts
- Faculty member representing School of Natural Sciences
- Faculty member representing School of Engineering
- Librarian representing the Librarians Association of the University of California—Merced Division
- University Librarian (ex officio)
- Vice Chancellor for Research (ex officio)
- Chief Information Officer (ex officio)
- Representative of the Graduate Student Association
- Representative of the Associated Students of the University of California, Merced
- Vice Provost and Dean of Undergraduate Education (ex officio)

APPENDIX A

University of California Library Advisory Structures

<p>UC Berkeley</p> <p style="text-align: center;">Library Committee</p> <p>Membership: This Committee has two student members (one graduate, one undergraduate); number of Senate members not specified. 2013-2014 Library Committee has 11 faculty members plus University Librarian “by invitation.”</p> <p>Charge:</p> <ul style="list-style-type: none">• Advises the Chancellor regarding administration of the Library; and• Performs such other duties relative to the Library as may be committed to the Division. <p>http://academic-senate.berkeley.edu/committees/libr</p>
<p>UC Davis</p> <p style="text-align: center;">Library Committee</p> <p>Membership: This committee shall consist of at least ten members, including the following: one undergraduate student representative; one graduate student representative; one representative appointed by the Davis Academic Federation; the chair of the library committee of each college or school having a library committee on the Davis campus; a faculty member from each college or school on the Davis campus that does not have a library committee but does have a committee with responsibility for library matters; and the University Librarian of the Davis campus ex-officio. (Am. 3/16/92; 10/20/97)</p> <p>Charge: It shall be the duty of this committee to advise the Chief Campus Officer regarding the administration of the Library on the Davis campus, in accordance with the Standing Orders of the Regents, to advise the University Librarian regarding removal and storage of library holdings, and to perform such other duties relative to the Library as may be committed to the Senate by proper authority. The committee shall report at least once a year to the Representative Assembly. (Am. 6/10/93; effective 1/1/94)</p> <p>http://academicsenate.ucdavis.edu/committees/committee-list/library.cfm</p>
<p>UC Irvine</p> <p style="text-align: center;">Council on Research Computing and Libraries</p> <p>Membership: The Council on Research, Computing, and Libraries shall consist of at least one member</p>

from each Faculty and no more than one member from any academic department. To balance the responsibilities of service among the members, each of the following Faculties shall have the following number of members:

- 1) Biological Sciences (2 members), Health Sciences (2 members);
- 2) Physical Sciences (2 members), Engineering (2 members), ICS (1 member);
- 3) The Arts (1 member), Humanities (2 members); Education (1 member); and
- 4) Social Sciences (2 members), Social Ecology (1 member), Business (1 member), Law (1 member).

The Vice Chancellor for Research, the Associate Vice Chancellor of Information Technology, and the University Librarian shall be ex officio non-voting members.

Charge:

- (1) Consider issues pertaining to fostering research.
- (2) Advise the Chancellor and represent the Division on matters relating to research policy and administration and academic resources, including information technology, telecommunications, and library policies and administration on the Irvine campus.
- (3) Administer general campus funds for faculty research and review and evaluate University-recognized research programs and units.
- (4) Advise the Vice Chancellor for Research on campus nominees or applicants for research awards from foundations and other granting agencies which restrict the number of proposals submitted.
- (5) Represent the Division on the University Committee on Research Policy, the University Committee on Library & Scholarly Communication, and the University Committee on Computing & Communications
- (6) A designated library representative shall be responsible for maintaining Council liaison with the University Librarian, and with any library committees that may exist in any of the Faculties.

Activities of CORCL should take into consideration the university's mission to promote diversity.

<http://www.senate.uci.edu/Councils/CORCL/index.asp>

UCLA

Committee on Library and Scholarly Communication

Membership:

Nine voting faculty appointed by the Committee on Committees and confirmed by the Legislative Assembly for up to 3 years,
The UCLA University Librarian, ex-officio,
Two student representatives, 1 undergraduate and 1 graduate appointed by their respective student government.

Charge:

The Committee on Library and Scholarly Communication (COLASC) takes, as its principal obligation, to reflect and articulate the views of UCLA faculty members concerning the role

of the University Library in the acquisition, storage, and provision of scholarly materials.

COLASC advises the Chancellor concerning the administration of the Library and scholarly communication. The Committee represents the Division and the faculty in all matters of library policy and advises the Library administration accordingly. COLASC meets twice per quarter

Interactions with Administration:

Primary interactions are with the University Librarian.

<http://www.senate.ucla.edu/committees/library/>

UC Riverside

Library & Scholarly Communication

Membership:

This committee consists of seven members of the Division, including the University librarian of the Riverside campus, ex officio. The Chair normally also serves on the University Library Committee.

Charge:

It is the duty of this committee to:

- (1) Advise the President and the Chancellor regarding the administration of the library and matters concerning scholarly communication at Riverside in accordance with the Standing Orders of the Regents and perform such other duties relative to the library as may be referred by proper authority;
- (2) Participate with the librarian in matters relating to the library budget, the formulation of library policies, the allocation of space, and the apportionment of funds;
- (3) Provide liaison between the Faculty and the library administration in all matters of library policy;
- (4) Prepare and submit to the Division an annual report on financial problems, allocation of space, facilities for research, and any other matters within its jurisdiction;
- (5) Participate in an advisory capacity in the appointment of the librarian.

<http://senate.ucr.edu/committee/?do=info&id=15>

UC San Diego

Library

Membership:

This committee shall consist of seven ordinary members of the Division, including ex officio the University Librarian at San Diego, who shall not become chair. It shall also have one representative of the Librarians Association of University of California, one undergraduate student representative, and one graduate student representative, who shall not have the right to vote. One member shall also serve on the University Library Committee.

Charge:

The Library Committee shall have the following duties:

- (1) It shall advise the President of the University and the Chancellor at San Diego regarding the administration of the Library at San Diego [see 105.2(f) of the Standing Orders of The Regents]. Such advice shall include recommendations concerning the Library budget, the formulation of Library policies, the allocation of space, and the apportionment of funds.
- (2) It shall perform such other duties relative to the Library at San Diego as may be committed to the Division by proper authority.
- (3) It shall provide liaison between the faculty and the Library administration in all matters of Library policy.
- (4) It shall prepare and submit to the Division an annual report on financial problems, allocation of space, facilities for research in campus libraries, and any other matters within its jurisdiction.
- (5) It shall participate in an advisory capacity to the Chancellor at San Diego and the President of the University preliminary to the appointment of the University Librarian.

<http://senate.ucsd.edu/committees/library.htm>

UC San Francisco

Library & Scholarly Communication

Membership:

This Committee shall consist of ten members, including the University Librarian of the San Francisco Division, a representative of the Librarians Association of the University of California - San Francisco Division (LAUC-SF), and one representative from either the UCSF Graduate Student Association or Associated Students of the University of California, San Francisco as ex officio members. The student representative groups shall in alternate years provide representatives (in odd years – GSA, in even years – ASUCSF), with each group serving to coordinate and communicate matters of importance relative to the Library on behalf of both groups. In the event that the Student Associations are unable to alternate representation, they shall determine amongst themselves which organization will send representation.

Charge:

- (1) To advise the President and the Chancellor regarding the administration of the library at San Francisco, in accordance with the Standing Orders of The Regents, and perform such duties relative to the Libraries at San Francisco as may be assigned to the Division by proper authority.
- (2) To provide liaison between Faculty and Library Administration on all matters of library policy.
- (3) To participate with the University Librarian on matters relating to library budget formulation policy and the allocation of space and apportionment of funds.
- (4) To prepare and submit to the San Francisco Division an annual report on financial problems, allocation of space, facilities for Library research and any other matters within its jurisdiction.

http://senate.ucsf.edu/committee/index.php?committee_id=10

UC Santa Barbara

Committee on Library, Information, & Instructional Resources

(The Committee on Library, Information, & Instructional Resources functions as a subcommittee of the Council on Research and Instructional Resources.)

Membership:

Committee on Library, Information & Instructional Resources consisting of a Chair and five (5) Council members. The University Librarian and Associate Vice Chancellor of Academic Programs serve ex-officio;

Charge:

Acts for the Division in all matters of Library policy and administration and advises the Chancellor and the Division accordingly; reviews and makes recommendations concerning the print, electronic, space and growth needs of the Library; participates in administrative reviews of the Library and formulates recommendations to the Chancellor, the Division and the Council on Planning and Budget as appropriate.

<https://senate.ucsb.edu/~councils.and.committees/index.cfm?V=F996622685347CB78BE C86C39837969D>

UC Santa Cruz

Committee on the Library and Scholarly Communication

Membership:

There are five Santa Cruz Division members, plus the University Librarian at Santa Cruz serving ex officio. In addition, there are no more than two student representatives. The Chair and Chair-elect of the UCSC Librarians Association are invited to sit with the Committee. The University Librarian does not serve as Chair.

Charge:

- 1) The Committee advises the President of the University and the Chancellor at Santa Cruz regarding the administration of the libraries at Santa Cruz, in accordance with the Standing Orders of the Regents. It consults with campus and library administration on local and Universitywide library and scholarly communication policies. Scholarly communication refers to the modalities by which research and creative work are made public, as described in 13.23.4. Whenever appropriate, the Committee joins the library administration in providing representation at Universitywide discussions of library policy. It assists the library administration in determining acquisition and management policies for collections, considering changing patterns of faculty and student use of the library, and the varied needs of the different disciplines.
- 2) In consultation with the University Librarian, the Committee advises the Chancellor

and the Committee on Planning and Budget on the library budget, apportionment of funds, allocation of space, and other matters concerning the library. Advises and consults with the Chancellor on administrative reviews of the library.

- 3) The Committee studies and reports on issues of scholarly communication, including technology, publishing, teaching, archiving, and copyright. The Committee promotes education and advocacy for matters concerning the library and scholarly communication.

<http://senate.ucsc.edu/committees/colasc-committee-on-library-and-scholarly-communication/index.html>

California Digital Library

Systemwide Library and Scholarly Information Committee

The Systemwide Library and Scholarly Information Committee was established to advise the University on systemwide library policies and strategic priorities, on systemwide long term planning for the UC libraries including the ten campus libraries and the California Digital Library (CDL), and on strategies to enhance and facilitate the transmission of scholarly and scientific communication in a digital environment.

SLASIAC Membership and Charge:

http://libraries.universityofcalifornia.edu/groups/files/slasiac/docs/SLASIAC_charge_revised_final_111411.pdf

<http://libraries.universityofcalifornia.edu/slasiac>



OFFICE OF RESEARCH AND ECONOMIC DEVELOPMENT

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October 31, 2014

Professor David Noelle, Chair
UC Merced, Committee on Research
Campus

Dear Professor Noelle,

I am happy to respond to the CORs request for specifics on the Limited Proposal Submission Process as it is currently practiced at UC Merced.

As you know, a number of extramural research sponsors limit the total number of submissions that they will accept from a given institution in response to a specific call for proposals. When the number of potential submittals exceeds quantity that will be accepted by the extramural sponsor, the host institution, in this case UC Merced, must run an internal selection process to choose which proposals may be submitted to the sponsor on behalf of the campus.

We have created a limited submissions process at UC Merced that strives to address the following ideals.

1. We rely upon the judgment of the faculty to select the best possible submittal(s) in response to a given solicitation.
2. We strive to make this as widely available to as many as faculty possible.
3. We rely upon local input at the level of the Schools and the ORUs to nominate the best potential applicants for a given solicitation. The Schools and ORUs use whatever process they see fit in making their local selections.
4. We try to run this process in a condensed time from so as to maximize the time available to write the full proposals.
5. We strive to avoid conflicts of interest in the selection process.

Given these ideals, the process at UC Merced is as follows:

1. A calendar of known limited submission opportunities is get on a website maintained by Research Development Services (RDS). This site contains a detailed description of the limited submission process. The site may be accessed at <http://rds.ucmerced.edu/funding-opportunities/limited-submission-opportunities>.
2. We attempt to send an email announcement out to all faculty alerting them of a pending limited submission opportunity.
3. Each School Dean and ORU Director may submit up to the maximum amount of nominees as allowed for the entire campus by the extramural sponsor. For example, the NSF Major Instrumentation Program only allows each campus to submit up to three proposals in a given cycle. Thus each School and ORU can nominate up to three potential proposals for MRI competition.

4. A proposal nomination includes a letter of support from a School Dean or an ORU Director, a two-page white paper describing the proposed research, and a short biosketch from each potential investigator. The source of any mandatory cost sharing, if required must also be identified.
5. Once the nominations have been received the Office of Research and Economic Development (ORED) assembles a team of UCM faculty reviewers (typically three) who recommend the proposal(s) to go forward on behalf of UC Merced. While we ask these reviewers to provide brief comments, we general only get rankings from them. Typically the reviewers consider such factors as: i) the strength of the research team, ii) the feasibility of the research, iii) the fit of the proposed activity to the RFA, and iv) probability of the proposed activity of success in the competition in question.
6. Following the recommendation of the reviewers, ORED notifies the faculty applicants of the results of the limited submission competition. RDS offers its assistance to those members of the faculty who are chosen to submit to the opportunity in question. RDS also offers to help in identifying alternate funding sources for those faculty not chosen for this particular submittal opportunity.

We recognize that the purpose of this process is to maximize the submittal opportunities for all faculty. We would glad entertain any suggestions for improvement that you or your colleagues would like to make.

Sincerely,



Dr. Samuel Traina
Professor of Life and Environmental Sciences and Environmental Engineering
Vice Chancellor for Research and Economic Development



Academic Senate Faculty Research Grants Call For Proposals

Deadline For Submission: March 14, 2014

PURPOSE

Faculty research grants are designed to support the research activities of UC Merced faculty and provide seed funds to assist in the development of extramural proposals to support research at UC Merced.

ELIGIBILITY CRITERIA

1. Each full-time member of the UC Merced Division of the Academic Senate, including emeritus members, is eligible to submit one grant proposal in response to this call.
2. Each faculty member may request up to \$5000 in research funding. Funds may be requested for most research costs, with some exceptions. (See Allowable and Unallowable Expenses, below.)
3. Faculty members may collaborate to submit a joint proposal, in which case the collaborators may not also submit individual proposals. Each faculty member may participate in only one proposal. Joint proposals may request funding up to an amount which is a multiple of \$5000, with the multiple being the number of collaborators contributing to the proposal. Regardless of the number of participating faculty, awards may not exceed \$20000, however.
4. Faculty on sabbatical leave or leave of absence (in residence or elsewhere) may apply for research funds. Grants will not be awarded, however, without assurance that the awardee will return to UC Merced after the absence.
5. Undergraduate students, graduate students, and postdoctoral researchers are not eligible to submit proposals, but faculty members may request funds to support student research activities under the supervision of the faculty member, provided that such activities are integral to a program of research being pursued by the

faculty member. Funds may not be applied to the support of postdoctoral researchers or of other research staff, however.

6. Non-tenured faculty members without extramural support are particularly encouraged to apply.

PROPOSAL CONTENT AND FORMAT

Each proposal must include all of the following:

1. **Cover Sheet:** This must include the name(s) of the participating faculty member(s), academic title(s), school affiliation(s), graduate group affiliation(s), electronic mail address(es), a proposal title, and a proposal abstract. The abstract must not exceed 350 words.
2. **Proposed Research:** This section should explain the research to be conducted with the requested funds, providing adequate background information and context to allow for a clear understanding of the proposal by an academic but non-expert reader. This description should be as specific and detailed as possible, given space limitations and the need to remain accessible to non-experts. This section should explain the potential impact that funding will have on the research program(s) of the proposing faculty member(s), as well as how this funding could assist in the development of research group(s) and faculty career trajectories. All requests for equipment, or other forms of infrastructure, must include an equipment management plan in this section. *The contents of this section may not exceed 3 single-spaced pages, with margins no smaller than 1 inch and fonts no smaller than 11 point.*
3. **Reference List:** This section should provide a bibliography of work referenced elsewhere in the proposal document. *This section may not exceed 1 single-spaced page, with margins no smaller than 1 inch and fonts no smaller than 11 point.*
4. **Budget:** How provided funds are to be used should be presented in a tabular format, listing the amount required for each line item.
5. **Budget Justification:** Each line item in the budget should be explained and justified, particularly with regard to constraints on allowable expenses (see below).
6. **Extramural Funding:** This section must list all pending and awarded extramural grants and contracts received by the proposing faculty member(s) for at least the last five years. For each award, the project title, funding amount, start date, and duration should be specified.
7. **Internal Funding:** This section must list all pending and awarded funds received by the proposing faculty member(s) from UC Merced sources, including Academic Senate funding programs, covering at least the last five years. For each award, the

project title, funding amount, start date, and duration should be specified. For each award granted by an Academic Senate program, a single-paragraph report on the results of the award should be included.

8. **Alternative Funding:** A brief justification of the proposed request for funding when alternative sources of extramural funding for the budgeted items are currently available to the proposing faculty member(s) should be provided in this section. If no such alternative sources of extramural funding are available, that fact should be clearly stated and justified. *This section may not exceed 1 single-spaced page, with margins no smaller than 1 inch and fonts no smaller than 11 point.*
9. **Seed Funding:** If the requested funds will support the preparation of one or more proposals for extramural funding, details concerning the extramural funding programs to which such proposals are to be submitted should be provided in this section. If recent attempts to secure extramural funding for the proposed budget items have been made, details concerning those submissions should be itemized. If the requested funds are not to be used as seed funding to assist in the preparation of extramural funding proposals, then that fact should be clearly stated. If extramural funds have not and will not be pursued for the proposed work due to the lack of an appropriate existing extramural funding program, this section should provide evidence that no such programs exist, describing efforts that have been made to identify possible funding sources.
10. **Human Subjects Approval:** If the proposal involves research on human subjects, information concerning institutional ethical review and approval of the proposed work should be presented in this section.
11. **Animal Subjects Approval:** If the proposal involves research on non-human animals, information concerning institutional ethical review and approval of the proposed work should be presented in this section.
12. **Curriculum Vitae:** This section must contain a CV for each faculty member participating in the proposal.

These sections should be assembled into a single document file in Adobe's *Portable Document Format* (PDF). While sections should appear in the order shown above, each section does *not* need to begin on a fresh page, but each section must be clearly labeled. The proposal file should have a name that begins with "COR_2014", followed by the last names of all participating faculty, separated by underscore characters. For example, a proposal submitted by faculty members Smith and Jones should be named "COR_2014_Smith_Jones.pdf".

ALLOWABLE EXPENSES

Categories of allowable expenses include the following:

- **Research Assistance:** Proposals requesting support for assistants must include a statement of each assistant's exact duties, budgeted hours of labor, and rate of pay. For graduate student support, the student to be supported must be identified. This information is to be included in the Budget Justification section of the proposal document.
- **Supplies and Equipment:** Awarded funds may be used to purchase research equipment and supplies. The purchase of such items is subject to the policies outlined in *UC Business and Finance Bulletin BUS 29*. Equipment purchased with awarded funds will be the property of the University of California. Books, reports, journals, video or audio recordings, and similar research materials may be purchased with awarded funds, but these should be itemized and their purchase justified in the Budget Justification section of the proposal. Similarly, budget line items for computer equipment or computer software are allowed, but they should be explicitly justified as essential for the research activities proposed, providing capabilities not present in the computer equipment currently available to the proposing faculty member(s). Miscellaneous supply and service costs (e.g., telephone, fax, copying, postage) must be justified as essential for the proposed work.
- **Recharge Fees:** Awarded funds may be applied to recharge fees associated with the use of core research facilities or other shared or institutional research resources. The Budget Justification section should explain how each requested recharge payment is required by the proposed work.
- **Travel for Research Purposes:** Expenses incurred for investigative travel and field work may be allowed if such travel is important for the proposed research. For example, such travel may be necessary to collect data or to inspect materials that cannot be procured by other means. Travel expenses for both the participating faculty member(s) and supervised graduate students may be budgeted. The Budget Justification section should explain the need for the proposed travel, and the Budget should break down such expenses into standard travel categories (e.g., flight costs, ground travel costs, housing costs, food costs, etc.).
- **Dissemination of Research Findings:** Expenses incurred for travel to academic conferences or other meetings to present research results arising from the proposed work are allowed. Travel expenses for both the participating faculty member(s) and supervised graduate students may be budgeted. The Budget Justification section should specify and describe intended forums for presenting research findings, and the Budget should break down such expenses into standard travel categories (e.g., flight costs, ground travel costs, housing costs, food costs, etc.). Research findings may also be disseminated through publication, and reasonable required publication fees may also be included in the Budget section.

Other kinds of expenses may be considered, but they will require special justification in the proposal document.

UNALLOWABLE EXPENSES

Categories of expenses that are *not* allowed to be covered by awarded funds include:

- **Research Assistance:** Awarded funds may *not* be used for faculty salary support, salary support for postdoctoral fellows, or salary support for other research staff. These funds may *not* be used to support curricular, administrative, or teaching aids.
- **Supplies and Equipment:** In general, awarded funds may *not* be used to purchase equipment that serves routine productivity purposes (e.g., printers, scanners, mobile telephones, mobile telephone service, calculators). Similarly excluded are standard office and computer supplies (e.g., paper, pens, pencils, flash drives), office furniture, and costs associated with the maintenance, operation, or repair of standard office equipment. Individual subscriptions to periodicals and professional society dues are also considered inappropriate budget items.
- **Travel:** If a participating faculty member will be on sabbatical leave or a leave of absence during the period of an award, then, except under special circumstances, awarded funds may *not* be used for travel between the Merced campus and the locale of leave. Also, subsistence during the period of leave is not fundable.

HUMAN AND ANIMAL SUBJECTS

- **Human Subjects:** Proposed research involving the use of human subjects must be approved by the Institutional Review Board before funds will be allocated. A copy of the approval or protocol number and applicable dates must be provided prior to the awarding of funds.
- **Animal Subjects:** Proposed research involving the use of non-human animals must be approved by the Institutional Animal Care and Use Committee. A copy of the approval or protocol number and applicable dates must be provided prior to the awarding of funds.

USE OF FUNDS

- **Budget Adaptation Post-Award:** Each line item in the proposal Budget must be justified in terms of the specific research activities being proposed. Expenditures of awarded funds are expected to generally conform to budgeted allocations by category and purpose. Faculty who receive awards must request approval from the Committee on Research (COR) prior to any change in the use for which funds were allocated. Reasonable requests within the scope of the proposed research activities will typically be granted.

- **Award Period:** Grants awarded by this program have a period of a single year. All award monies must be spent before June 1, 2015. Funds will not be provided for expenses incurred prior to the date upon which a grant is awarded. Faculty awardees are responsible for the administration of their grants, including the covering of overdrafts. Faculty awardees are expected to promptly return any funds that will not be spent before their grants expire. Any unexpended funds remaining on the grant expiration date will automatically revert to the Executive Vice Chancellor and Provost for redistribution.
- **Equipment:** Any equipment purchased with awarded funds will be the property of the University of California, and possession is retained by the University of California beyond the completion of the period of the grant.
- **Compliance:** All expenditures are subject to applicable University of California regulations.

EVALUATION CRITERIA

Proposals will be reviewed and evaluated by the Committee on Research (COR) of the Academic Senate. Proposals that are incomplete or do not meet minimum conformance standards to the requirements outlined in this document will not undergo further review. The remaining proposals will be ranked according to the following criteria, in the specified order:

1. *Evidence of funding need:* Proposals that demonstrate a lack of alternative available extramural funds for the proposed research activities will be preferred over those for which other extramural funds are available.
2. *The existence of past efforts to secure extramural funding for the proposed research activities:* Proposals for which any such past efforts exist will be preferred over requests for funds that have not been previously sought from some extramural source. Proposals that make a convincing case that no appropriate extramural funding programs exist will be ranked highly, along with those for which previous extramural proposals have been submitted.
3. *Time since the receipt of a research award from the Academic Senate:* Faculty members who have not recently received support through this program (or its predecessor) will be ranked above those who have recently received such support. For proposals involving multiple faculty members, the time since last award will be ascertained for each faculty member, and the largest value across participants will be used to rank the proposal. In this way, recent award recipients benefit by teaming with faculty members who have not previously received an award, or have not received an award in a while.
4. *Targeted extramural funding programs:* Proposals that request seed funds to support the preparation of one or more proposals to explicitly specified extramural

funding programs will be preferred over proposals for which no specific plan for the pursuit of extramural funds is provided.

5. *Juniority:* All other factors being equal, junior tenure track faculty will be preferred over more senior tenure track faculty, and tenure track faculty will be preferred over other members of the Academic Senate. For proposals involving multiple faculty members, the rank of the most junior participant will be used to assess the joint proposal.

While many of these criteria can be determined in a fairly objective manner, assessments requiring judgment will be resolved by majority vote of the COR membership.

It is anticipated that available funds will be insufficient to fully fund all ranked proposals. In general, funds will be allocated to proposals in the order in which they have been ranked, according to the above criteria, until available funds are exhausted. In some situations, however, COR may, based on a majority vote, reduce the size of some awards below requested amounts so as to increase the number of awards granted. Also, in an effort to produce an award portfolio that reflects the range of research being conducted at UC Merced, COR reserves the right to adjust rankings, using an approach that is regularly employed by federal funding agencies.

The proposal rankings and award recommendations produced by COR will be communicated to the Academic Senate Divisional Council, and they will be provided to the Vice Chancellor for Research and the Executive Vice Chancellor to guide the administration in the delivery of award funds. Once an award is made, funds will become immediately available to the participating faculty member(s).

APPLICATION PROCESS

Each proposal must consist of a single PDF file, formatted and named according to the instructions provided above. Completed proposal documents should be delivered to the Academic Senate Office c/o Simrin Takhar: stakhar@ucmerced.edu. Proposals must be received by the end of the day (i.e., before midnight) on March 14, 2014.

If an award is made, funds will become available immediately. All award monies must be spent before June 1st, 2015.

UNIVERSITY OF CALIFORNIA

OFFICE OF THE PRESIDENT

TASK FORCE ON UNIVERSITY-WIDE RESEARCH PRINCIPLES, PROCESSES AND ASSESSMENT

REPORT TO THE VICE PRESIDENT OF RESEARCH AND GRADUATE STUDIES

JUNE 2012

BACKGROUND AND INTRODUCTION

In Fall 2011, the Vice President of Research and Graduate Studies convened a Task Force on the University-wide Research Principles, Processes and Assessment (PPA Task Force) and charged the group with examining the current principles and processes that guide UCOP-funded research programs, and recommending a comprehensive framework to guide future decision-making and assessment of UCOP research investments. The task force was charged with re-examining the purpose of investing in universitywide research, the principles that guide those investments, the processes for decision making and evaluation, and the objectives and measures we use to evaluate research investments when considering whether or not to initiate or continue funding. The task force was asked specifically to set aside examinations of any specific programs, projects, or areas of research.

The PPA Task Force was a joint effort between UCOP, Academic Senate and campus administration. Membership was comprised of representatives from the Office of the President, and the full membership of the University Committee on Research Policy (UCORP) and the Council of Vice Chancellors for Research (COVCR). The task force was convened in late fall of 2011 and took several months to discuss these complex and difficult questions. Monthly discussions were held together as a group (by videoconference), as well as within the monthly meetings of the constituent subgroups which comprised our membership (UCORP, COVCR). A drafting workgroup was formed, with representatives from each constituent subgroup (UCOP, UCORP and COVCR) to help put words to the ideas of the group and produce draft proposals and recommendations for consideration and refinement by the greater task force membership.

The PPA Task Force is pleased to transmit the following report to the Vice President in response to its original charge. These recommendations reflects a good deal of work, discussion and debate over several months, not only among task force members, but also among the staff at the Office of the President who supported this work, and the many individuals from the campus research community who provided advice and input.

The task force appreciates the opportunity to provide input on a topic of such importance to the health of the University of California. We hope that our collective efforts will achieve lasting and effective change in the ways we envision, implement and assess the research investments we make together as a University.

PPA Task Force

JUNE 2012

PPA TASKFORCE MEMBERS:

Co-Chairs:

John Crawford, Chair of the University Committee on Research Policy

Jenny Gautier, Deputy to the Vice President of Research and Graduate Studies

Council of Vice Chancellors for Research:

Graham Fleming, Vice Chancellor for Research, UC Berkeley

Harris Lewin, Vice Chancellor for Research, UC Davis

John Hemminger, Vice Chancellor for Research, UC Irvine

James Economou, Vice Chancellor for Research, UC Los Angeles

Sam Traina, Vice Chancellor for Research, UC Merced

Charles Louis, Vice Chancellor for Research, UC Riverside

Sandra Brown, Vice Chancellor for Research, UC San Diego

Susanne Hildebrande-Zanki, Associate Vice Chancellor for Research, UC San Francisco

Michael Witherell, Vice Chancellor for Research, UC Santa Barbara

Bruce Morgan, Vice Chancellor for Research, UC Santa Cruz

David Clark, Los Alamos National Laboratory

Edward Turano, Lawrence Berkeley National Laboratory

John Knezovich, Lawrence Livermore National Laboratory

University Committee on Research Policy:

Michael Kleeman, Vice Chair, UCORP

Michael Tarter, UC Berkeley

Leslea Hlusko, UC Berkeley (alternate)

Sally McKee, UC Davis

Hugh Roberts, UC Irvine (Fall 2011, Spring 2012)

James Brody, UC Irvine (Winter 2012)

Timoth Tangherlini, UC Los Angeles

Mike Cleary, UC Merced

Robert Clare, UC Riverside

Frank Wuerthwein, UC San Diego

Shlomo Dubnov, UC San Diego (alternate)

Ralph Marcucio, UC San Francisco

Srikantan Nagarajan, UC San Francisco (alternate)

Jianwen Su, UC Santa Barbara

Scott Oliver, UC Santa Cruz

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University-wide Research Funding Principles, Process and Assessment

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I. Report Overview

The UC Office of the President (UCOP) provides limited funds to support UC-wide programs and initiatives across all fields of scholarship that might benefit from collaborative work. These UC-wide investments can range from small initiatives that reach across campuses to combine ideas, expertise or resources, to large shared-infrastructure projects that can leverage UC's influence and resources to benefit research throughout the system. With ten campuses, five medical centers, and over twenty-five thousand faculty and research employees, UC can launch and advance unique research efforts that extend well beyond a single campus or university's capabilities.

To help guide UC-wide research investments and ensure these systemwide funds are successful in advancing the University's research goals, it is incumbent upon UCOP to establish a mature framework to carefully evaluate both the overall and relative merits of its investments, and to help make decisions and plans for any future university-wide research initiatives.

The purpose of this document is to detail the principles, process and metrics for assessment that will guide the investment of university-wide resources in research at the University of California. This includes:

1. Providing **clear guiding principles** to:
 - Define the purpose and scope of systemwide research funding, and
 - Describe the benefits of systemwide research funding and how its purpose differs from campus-funded research objectives.
 - This document will NOT recommend specific areas for university-wide funding.
2. Defining a **rigorous process** to guide and periodically review UC-wide research investments, in order to:
 - Evaluate new opportunities, and
 - Decide which UC-wide research programs to initiate or continue, and
 - Determine when and how to transition programs to other sources of funding, in order to allow room for new investments.
 - This document will NOT recommend specific programs or projects for funding or for elimination.
3. Identifying a list of high-level **objectives and measures**, both quantitative and qualitative, by which UCOP can assess (and compare) any UC-wide or multicampus program, initiative or investment. If successful, a well-implemented assessment framework will provide the following benefits:
 - Provide mandatory and comprehensive assessments of UC-wide research which can be compared across all disciplines;
 - Provide transparency and accountability for systemwide expenditures on research;
 - Provide practical information and benchmarks for programs seeking systemwide funding;
 - Inform systemwide funding allocations, budgeting and strategic planning;
 - Advance programs that deliver benefits to the UC system and to California above and beyond what a single campus can accomplish.

II. Rationale for Investment in Systemwide Research

Each UC campus has a unique and competitive research enterprise that is responsive to its faculty and students, and to its sponsors and stakeholders in research. What do UC-wide research investments have to add to these campus

investments, and how do they differ from what is funded by the campuses directly? In addition to the objective of supporting research of the highest quality and impact, the following three principles define the goals and purpose that drive and distinguish UC-wide research investments.

1. Principle #1: Act as one system of multiple campuses to enhance UC's influence and advantage.

With ten campuses, three national laboratories, state-wide resources and networks, the UC system offers researchers access to opportunities and a competitive advantage that a single campus cannot provide on its own. Acting as a network of multiple campuses, UC can invest in efforts that bring the best and most diverse minds together to define challenges, secure funding, and solve significant problems. This provides more opportunities for UC's world-class faculty and creates larger and stronger collaborative resources and networks that can enhance the entire research community.

2. Principle #2: Promote efficient inter-campus collaborations and systemwide economies of scale.

Finding ways for UC researchers and administrators to cross campus boundaries and work together effectively is a key goal of UC-wide investments. Not only does this generate energy and ideas among UC researchers across the system, but it leads to shared innovation and efficiencies in how we conduct and manage research, resulting in savings or financial gains that can be reinvested in UC-wide research.

3. Principle #3: Serve the State of California.

As California's research university, we implement research on behalf of the state in a fair and impartial basis. UC research has a unique capability to address many of the greatest challenges facing California today. UC seeks to create and grow industries that support California regional economies and to educate a culturally literate, knowledgeable workforce that will continue to lead the growth of California and optimize the State's return on its investment in UC.

III. Proposed Process for Systemwide Research Funding

A. Glossary of Terms

- The **Systemwide Research Portfolio** describes all research and graduate research efforts funded through the UC Office of the President.
- A **Program** is a coordinated set of projects undertaking related research or fulfilling a common theme such as multi-campus research.
- An **Initiative** is a research effort that is limited in time or scope. Initiatives may become Programs if they become funded on an extended basis.
- A **Project** describes a time-limited, focused research undertaking, generally funded by a research grant.

B. Background, Objectives and Scope

The UC Office of the President (UCOP) provides limited systemwide funds for the support of UC-wide research programs and initiatives. These investments range in size from small seed funds that encourage planning or networking in new or emerging fields, to larger development grants that can launch or develop successful collaborations or initiatives, to multi-million dollar investments over multiple years that support large-scale initiatives or shared-infrastructure projects that can benefit research throughout the system. Each investment may differ widely in scope, scale and objectives, as well as in fields of research or levels of campus involvement. These investments should align with the Principles outlined in Section II above.

UCOP manages several research programs directly. Other funds are sent directly to UC campuses and managed by local programs. For these campus-managed funds, UCOP maintains an obligation for regular program oversight and review.

The following sections propose a process to advise the Vice President for Research and Graduate Studies on how best to align UC's research investments with the Principles outlined in Section II above, and how to continually assess, adjust and revitalize those investments over time.

C. General Constraints and Requirements

1. Availability of Funding

Commitment of systemwide funds to support UC-wide research programs and projects is contingent upon availability of resources. UCOP will determine availability of systemwide funds on an annual basis.

2. Eligibility of Programs or Initiatives for Systemwide Funding

In order to qualify for systemwide research funds, programs and initiatives should preferably:

- Exemplify at least two of the principles of UC-wide research outlined in this document; and
- Demonstrate meaningful collaborations between UC campuses or affiliated national labs. See assessment for additional details on collaborations.

3. Applicability of the Proposed Process

The process proposed below will apply to all research and graduate research efforts which receive funding through the UC Office of the President.

D. Description of Proposed Processes

1. Roles and Responsibilities

The **Vice President** of Research and Graduate Studies has oversight for systemwide-funded programs and initiatives, and advises the President on the effectiveness of those research investments in promoting the overall quality and welfare of UC research.

To assist the Vice President in maintaining a vital and dynamic systemwide research portfolio, the Vice President will convene a **Portfolio Review Group** (PRG) to advise him or her on the size, shape and quality of current UC-wide research investments, and make recommendations for new priorities or directions. See **Appendix A** for a proposed charge which includes details on the group's role and operations, and a discussion of its make-up and governance.

The PRG will be asked to carefully review materials on the systemwide research portfolio and individual programs and initiatives. Materials will be assembled by UCOP staff from internal and external sources, and from information provided by the programs. The PRG may request additional information or input, as needed. Materials may include:

- Summaries of systemwide research investments prepared by UCOP analysts;
- Annual reports or program evaluations, issued by programs or initiatives;
- Reports from External Reviews (when applicable);
- White papers (internal or external to UC) analyzing or forecasting the potential for new areas of research;
- Other materials or information, as needed.

Directors of systemwide-funded programs and initiatives are responsible for providing annual reports to the Vice President, describing the financial vitality, scientific quality of the program, key program goals and accomplishments and how the program or initiative demonstrates the three Systemwide Research Principles (see Section II). Programs may be subject to a periodic external review, depending upon the size and nature of the investment.

2. Group Recommendations

Portfolio Review Group recommendations will be used throughout the year to guide the Vice President in making fair and transparent recommendations and funding decisions, and will assist program directors in the strategic planning and management of their programs.

Recommendations will help guide:

- The development of requests for proposals for current or new funding opportunities;
- Levels of investment in current programs and initiatives;
- The assessment of new funding opportunities or investments when funds become available.

3. Program Assessments and Evaluation

Systemwide Research Portfolio Review. All ongoing funding commitments will be reviewed on an annual basis by the Portfolio Review Group to ensure that investments are aligned with systemwide funding principles (detailed in Section II) and that the systemwide research portfolio is well-balanced according to its size and focus of funding.

Programs must provide an annual report, describing the full program budget, sources of funding, scientific quality of the program, key program goals and accomplishments and how the program or initiative demonstrates the three UC-wide Research Principles (see Section II). Supplementary information may be requested by the Portfolio Review Group.

Individual Program Review. Programs receiving ongoing funding will also be rigorously reviewed once every five years by a panel of experts in a two stage process.

During the first stage, a Scientific Review Committee will evaluate the quality of the science or the quality of the research produced. Maintaining high quality science or research is a minimal requirement for continued inclusion in the UCOP Research Portfolio.

In the second stage, the Portfolio Review Group will review the program to: (a) assess whether the program is meeting all systemwide requirements; (b) consider how well aligned programs goals and accomplishments are with systemwide funding principles, and (c) determine the opportunity cost of continuing ongoing funding commitments.

Areas of Priority for Future Research Funding. In addition to reviewing ongoing funding commitments, the PRG will be asked to assess new research opportunities or directions for funding. This includes assessing the opportunity cost of current research investments against new proposals, and making recommendations to help guide new investments. The PRG may make recommendations to fund specific emerging or critical fields of research, research types or categories requiring more support (such as graduate studies or research computing), or specific programs where appropriate. Whenever possible, the PRG will be asked to rank these priorities.

IV. Assessment Framework

Available systemwide funding can only support a small fraction of the world-class projects that could be conducted in each of the program areas. This oversubscription of available systemwide funds creates a system of healthy competition between the programs within the overall UC-wide research portfolio. The Portfolio Review Group will use a set of objectives and measures to assess and compare UC-wide or multicampus programs, initiatives or investments to support the most competitive programs that best contribute to systemwide objectives. This assessment will recognize the variety of sizes, goals, strategies, activities and fields of research within each program.

Defining Review Criteria and Metrics. UCOP and the Portfolio Review Group will work closely with each program to define a rigorous set of criteria and metrics that can clearly demonstrate how the program’s funded activities contribute to systemwide objectives and how these measurements demonstrate the program’s success in achieving systemwide principles.

- Define the specific goals and criteria which may apply to the program and “map to” the principles of UC-wide research,
- Define how the program’s funded activities “map to” or demonstrate performance against each of these goals and criteria;
- Define which specific metrics will be provided to the review panel to demonstrate that performance.

The primary goal of these metrics will be to demonstrate (both quantitatively and qualitatively) how well a program or initiative delivers against the principles of UC-wide research. While good management and scientific achievements may be key factors in a program’s success, these are baseline requirements for any systemwide investment and will only be considered in relation to how well they demonstrate a program’s achievements towards one or more of the UC-wide research principles.

Areas of Focus. Questions, concerns, or specific areas of focus for the review will be solicited from the Chancellors, the Council of Vice Chancellors for Research, the Academic Senate, Institute Directors, key program stakeholders, the Portfolio Review Group, and the external review panel (when applicable). These areas of focus should be directly addressed in the review criteria and metrics, as well as in the materials provided to the Portfolio Review Group and the external review panel.

Benchmarking Performance. Wherever possible, programs, initiatives, and projects should benchmark their performance against comparable institutions within UC or at other academic institutions. Programs, initiatives, and projects may also choose to provide trend data, benchmarking performance in specific areas across time. All programs, initiatives, and projects committed to continual self-evaluation and improvement should have developed strong metrics for internal use to measure and benchmark their own performance. However, in the event that a program under review does not have readily identified benchmarking data, the Portfolio Review Group and the external review panel (when applicable) may suggest some options. These options will be evaluated for feasible inclusion in the current review, and may be required for future evaluations.

Evaluation. Based on the metrics and materials defined jointly by UCOP, the program, and the Portfolio Review Group, the PRG would rate a program’s performance against each systemwide objective.

Principle-Guided Assessment Framework. Defining a strong assessment framework based on UC-wide principles will enable UCOP to benchmark and compare a diverse set of systemwide investments, and evaluate their performance against a common set of systemwide goals. Specific review criteria and metrics can be flexible, allowing programs to demonstrate – both quantitatively and qualitatively – the diverse activities and accomplishments of each program. However, the goals themselves should remain constant across programs, mapping the review criteria back to UC-wide principles for research investments. The basic structure mapping the principles to goals and review criteria can be seen below:

- *Principle #1: Act as one system of multiple campuses to enhance UC’s influence and advantage.*
 - Goal: Provide UC faculty and students with access to unique facilities or resources that set UC apart.
 - The benchmarking of resources or facilities against similar efforts, resources or facilities.
 - The demonstration of broad access, participation, usage and/or support from UC faculty and students systemwide.

- The demonstration of how funded programs have helped to attract faculty, technical staff, and students systemwide. Special note should be made of efforts to assist with campus faculty recruitment and retention.
 - The demonstration of how funded programs have helped increase UC's competitiveness in other arenas: e.g., by improving academic program rankings, increasing public engagement and support for UC, developing unique and valuable relationships with external parties, etc.
 - Goal: Enable, where available, successful competition for large research projects and grants that single campuses could not access, shown by:
 - The demonstration of how investment by the State and UCOP in the funded program is used to maximize opportunities for external funding.
- *Principle #2: Promote efficient inter-campus collaborations and systemwide economies of scale.*
 - Goal: Efficient operation of shared research facilities, which can be demonstrated by:
 - The benchmarking of basic operations costs against similar facilities.
 - The demonstration of the access and value provided to faculty, students and the research community.
 - Goal: Demonstrate systemwide engagement through long-range planning, transparent governance, reporting and accountability, characterized by:
 - The development of a long-term strategic plan used to guide future research direction.
 - The involvement of key constituents in the strategic planning process, and the clear communication of the strategic plan to staff and key stakeholders.
 - Regular assessment of strategic priorities and adjustment of these priorities as necessary.
 - An engaged governance and advisory structure.
 - An open and transparent program administration, which includes clearly communicating performance and direction to academic partners and the provision of more detailed administrative and fiscal information to appropriate oversight structures.
- *Principle #3: Serve the State of California*
 - Goal: Collectively impact Californians through research at multiple campuses in multiple regions of the state, demonstrated by:
 - An assessment of the program's contribution to the University's research mission.
 - An assessment of the economic, cultural, and societal benefits brought to multiple regions in California resulting from program activity.
 - An assessment of the program's ability to actively engage and inform the California public.

Appendix A: Recommended UC Portfolio Review Group Charge

The UC Office of the President currently invests in various UC-wide research programs and facilities to serve systemwide needs and take advantage of UC's wide distribution of talent for addressing emerging research areas of scale. The amount of this investment fluctuates owing to changes in the UC budget. To ensure that the total amount is optimally spent to provide the best support for UC UC-wide research, UCOP will establish the **Portfolio Review Group (PRG)**. The purpose of the **Portfolio Review Group** is to:

- 1) Provide guidance to the **Vice President** for Research and Graduate Studies on the size, shape and quality of current UC research investments. Assess the systemwide research portfolio to ensure that investments are aligned with systemwide funding principles and that the systemwide research portfolio is well-balanced according to its size and focus of funding.
- 2) Provide recommendations to guide the Vice President in making fair and transparent funding decisions, and assist program directors in the strategic planning and management of their programs.
- 3) Recommend opportunities for new investments in systemwide research to strengthen or balance the research portfolio.

The Portfolio Review Group will provide written reports to the Vice President for Research and Graduate Studies at UCOP. The recommendations will be made available to the UC community to ensure transparency in decisions about systemwide research funding.

The PRG will meet on an annual basis to review the UC-wide research investment portfolio, assess its alignment to the three principles, and make recommendations to the Vice President on research priorities for the upcoming three to five years. The Vice President may also call on the PRG throughout the year for advice on specific research funding issues.

The PRG will be asked to make recommendations on:

- **Areas of Priority for Future Research Funding.** The PRG will be asked to assess the quality and vitality of current research investments against the potential for new opportunities or directions, and make recommendations to help guide new investments. These recommendations could be for specific emerging or critical fields of research, for types or categories of research that require more support (such as graduate studies or research computing), or specific programs, where appropriate. Where possible, the PRG will be asked to rank these priorities. The PRG may recommend or establish a UC-wide task force to carry out strategic planning for UC-wide research.
- **Programs to Continue, Transition or Sunset.** The PRG will also be asked to help identify programs that may be appropriate to sunset or transition to other funds. These may include: (a) programs that are not well-aligned with UC-wide goals (see Principles in Section II above); (b) programs that are less cost-effective at meeting UC-wide goals than other investments; or (c) well-established programs that have outgrown the need for systemwide funding.
- **Guidance on the direction of specific programs or funds.** Where appropriate, and on a limited basis, the PRG will be asked to provide guidance or advice on the direction, alignment, or use of systemwide funds within specific programs. These recommendations are primarily to provide feedback on specific concerns or opportunities related to these programs, and to advise the Vice President and program directors on how to best address these.

Portfolio Review Group Membership

- A. Members will be appointed by the Vice President from a slate of nominees drawn from UC faculty from across the UC system, administrators from the campuses and UCOP; and individuals not employed by UC (External), as deemed necessary by the Vice President.

- B. The Vice President will select administrators and external members with nominations from campus chancellors, taking into account representation of a broad range of roles and academic disciplines on the PRG by current and prospective members.
- C. At least three Vice Chancellors of Research (VCR) from UC campuses will be members of the PRG, with staggered terms so that one new VCR will rotate on each year.
- D. Nominations for Academic Senate faculty will be provided by the Chair of the systemwide Academic Senate to the Vice President.
- E. Academic Senate Faculty will comprise at least half of the UC internal membership.
- F. The period of membership will be three (3) years. There is no specific limit on the number of times a member may be reappointed. However, each individual reappointment will be subject to the approval of the Vice President, and the candidate's acceptance of the new term.

Portfolio Review Group Officers

- A. Group officers shall be a Chair and a Vice Chair, both of whom are current PRG members.
- G. Officers shall be invited to serve by the Vice President, who will provide the PRG with its charge. The Vice Chair, after a year of service will be invited to advance into the Chair role..

Portfolio Review Group Officers

- B. Group officers shall be a Chair and a Vice Chair, both of whom are current PRG members.
- C. Officers shall be invited to serve by the Vice President, who will provide the PRG with its charge. The Vice Chair, after a year of service will be invited to advance into the Chair role.

Responsibilities of Portfolio Review Group Officers

The **PRG Chair** shall, in consultation with the Vice President, determine the agenda for, convene, and preside over all meetings. The Chair shall work with UCOP staff to assure that reasonable notice of meetings is provided to the general membership.

The **PRG Vice Chair** shall assume the duties of the Chair in the Chair's absence.

Meetings

Regular meetings shall be held once a year. Additional meetings may be called, as needed. A regular meeting quorum shall consist of a minimum of one half of general members.



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

October 15, 2014

**CHANCELLORS
ACADEMIC COUNCIL CHAIR GILLY
ANR VICE PRESIDENT ALLEN-DIAZ
LABORATORY DIRECTOR ALIVISATOS**

Dear Colleagues:

Enclosed for systemwide review is a new draft Presidential Policy on Open Access for University of California authors who are not members of the Academic Senate. All Academic Senate members are already covered by an Open Access Policy approved on July 24, 2013; the attached draft policy extends similar open access rights and responsibilities to all members of the UC community who are authors of scholarly articles. In addition, the proposed policy outlines procedures for implementing the policy for all UC authors, both Senate and non-Senate. My intention for systemwide review of this policy is to solicit feedback on the proposed policy from all members of the UC community. Therefore, please distribute the draft as widely as possible, using processes appropriate for each of your respective groups, so that all have an opportunity to comment.

During academic year 2013-14, the Provost's Task Force on Open Access, chaired by UCLA Associate Professor Christopher Kelty, studied the complexities of this policy issue and was guided by two principles: 1) to respect the Academic Senate's policy and its concern for academic freedom and autonomy; and 2) to implement the enclosed proposed policy as uniformly and fairly as possible for all members of the UC community who author scholarly articles. The Task Force has taken special care to consider how the proposed policy can work in concert with the Academic Senate's policy and not supersede it. The Task Force has also worked within the current UC Copyright Policy, which distinguishes those employees who own their copyright from those who do not; more information on this ownership issue is included on the attached document entitled "Proposed Presidential Policy on Open Access: Additional Information and Frequently Asked Questions for Systemwide Review." More generally, this document explains the purpose and function of open access policies. Much more detailed and extensive information is also provided by the California Digital Library at <http://uc-oa.info/>.

The Task Force, composed of Academic Planning Council (APC) and non-APC members, consulted throughout the last academic year with the APC; I serve as chair of the APC and former Academic Council Chair William Jacob served as Vice Chair. In addition, the Task Force sought additional input from those administrators and leaders who could help us reach faculty, students, and staff potentially affected by the proposed policy. In this effort, comments and guidance were solicited from UC Vice President Duckett (Human Resources and Labor Relations), UC Vice President Sakaki (Student Affairs), the Vice Provosts of Academic Personnel/Academic Affairs, the Council of Graduate Deans, University Extension Deans, the Council of University Librarians, the Librarians' Association of UC, and the Academic Senate.

Initial feedback from these groups has been incorporated into the enclosed draft. With this systemwide review, my staff and I are ensuring that all of the affected audiences know about the review and have a chance to offer input. Thus, I am circulating the draft more widely than the usual systemwide review distribution, trusting that each of you will make a special effort to solicit comments from those you represent and work with in the UC community.

National Context in Scholarly Publishing

The goal of this policy, as with the nearly two hundred similar policies passed at other universities, is narrow but important: to allow authors of scholarly papers to collectively and preemptively reserve broad rights under copyright law, or to give up those rights if so desired. The policy increases the ambit of control over publications that scholarly authors preserve, and it creates an institutional expectation (but not a requirement) that our scholarship at the University of California will be made widely available to the public.

However, in proposing this policy, the Task Force, APC, and I are cognizant of the fact that such a policy is limited in its ability to affect the state of scholarly publishing today, and that many larger challenges loom. This policy is protective of author rights while being sensitive to academic freedom, but it does not directly address the worrisome economics of scholarly publishing.

As scholars at UC—ladder-rank faculty, faculty in other title series, post-doctoral scholars, students and academic researchers—continue to publish in greater volume, and as publishers expect increased, unremunerated labor from UC scholars in terms of peer review and editing, we will encounter continued difficulties in paying for scholarly publishing. We will also face challenges in ensuring that costs and opportunities are equitable across the disciplines and in balancing our capacity to create new knowledge with the costs of publishing it. This policy alone cannot solve these problems, but it can be a wise step on the way towards doing so.

October 15, 2014

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Systemwide Review Process

Systemwide Review is a public review distributed to the University leaders requesting that they inform the general University community, affected employees and union membership about policy proposals. Systemwide Review also includes a mandatory full Senate review for at least 90 days.

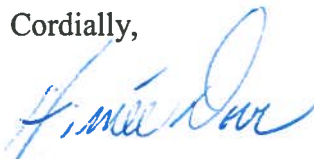
All employees—faculty, academic appointees, student employees, administrators, and staff—should be afforded the opportunity to review and comment on the draft new policy, available online at: <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees affected by these proposals. Our colleagues in UCOP Labor Relations will inform the collective bargaining units by way of their usual processes.

Please submit comments and feedback to the enclosed policy by **January 15, 2014** to ADV-VPCARLSON-SA@ucop.edu (email address is not case-sensitive).

Questions may be directed to Janet Lockwood at Janet.Lockwood@ucop.edu or 510.987.9499.

Thank you in advance for your attention to this new draft Presidential Policy.

Cordially,



Aimée Dorr, Provost
Executive Vice President for Academic Affairs

Enclosures: Proposed Draft Presidential Policy on Open Access
Proposed Presidential Policy on Open Access: Additional Information and
Frequently Asked Questions for Systemwide Review
Model Communication

cc: President Napolitano
Executive Vice Chancellors/Provosts
Senior Vice President Vacca
Vice President Brown
Vice President Duckett
Vice President Sakaki
Interim Vice President Tucker
Vice Provost Carlson

Vice Provosts Academic Personnel/Academic Affairs

LAUC President Conner

Council of Graduate Deans

University Extension Deans

Council of University Librarians

Provost's Task Force on Open Access Members:

Associate Professor Kelty, Chair (UCLA)

Professor Clare (UCR)

Professor Konopelski (UCSC)

Professor Manduchi (UCSC)

Professor Schneider (UCSF)

University Librarian Tanji (UCI)

Academic Personnel Directors

Executive Director Baxter

Executive Director Farley

Executive Director Streit

Executive Director Tanaka

Director Chester

Director Greenspan

Director Mitchell

Senior Counsel Hao

Senior Counsel MacDonald

Chief of Staff Grossman

Chief of Staff/Director of HR Policy Skarakis

Deputy to the Vice President/Executive Director Griffin-Desta

Deputy/Compliance Officer Lane

Manager Lockwood

Policy Coordinator Trifonov

Planning Analyst Landes

Senior Analyst Banaria



Open Access

Responsible Officer:	Provost and Executive Vice President for Academic Affairs
Responsible Office:	APP – Academic Personnel and Programs
Issuance Date:	[Issuance Date]
Effective Date:	[Effective Date]
Scope:	This policy applies to employees and students at the University of California campuses, the Lawrence Berkeley National Laboratory, the Division of Agriculture and Natural Resources, the UC Medical Centers, the Office of the President, and all auxiliary University locations not already covered by the Academic Senate Open Access Policy adopted on July 24, 2013.

Contact:	Janet Lockwood
Email:	Janet.Lockwood@ucop.edu
Phone #:	(510) 987-9499

I. POLICY SUMMARY

The University of California is committed to disseminating its research and scholarship as widely as possible. In particular, as a public university system, the University of California is dedicated to making its scholarship available to the people of California. Furthermore, the University of California recognizes the benefits that accrue to its authors as individual scholars and to the scholarly enterprise from such wide dissemination, including greater recognition, more thorough review, consideration, and critique, and a general increase in scientific, scholarly, and critical knowledge. The University of California further recognizes that by such policies, authors of scholarly articles can more easily and collectively reserve rights that might otherwise be signed away, often unnecessarily, in agreements with publishers. To accomplish this, authors take advantage of US copyright law to grant to the University a non-exclusive license (limited to the purpose of making the work openly available) for each scholarly article authored while employed by UC. The Academic Senate has already taken this step for all of its members by adopting an open access policy on July 24, 2013.

The policy in this document extends the same opportunity to all non-Senate members of the University of California community who author scholarly articles (defined herein as “University Authors”). The policy allows non-Senate authors of scholarly articles to maintain legal control over their research articles while making their work freely and widely available to the public; specifically, this policy commits University Authors to depositing a version of each scholarly article in a digital repository, but reserves for authors the right to choose whether to make that work freely and openly available to the public. The policy also takes the extra step of defining procedures that implement this policy uniformly for all University of California employees, including all Academic Senate members. Finally, it outlines procedures that should be followed if the Academic Senate changes its policy in ways that affect the congruence of the Senate policy with this Presidential policy.

II. DEFINITIONS

Academic Senate Authors: Authors of scholarly articles who are members of the systemwide Academic Senate. For a list of titles conferring membership in the Academic Senate, see [Regents Standing Order 105.1](#) and the [Academic Personnel Manual, Section 110-4\(4\)](#) (APM - 110-4, Academic Personnel Definitions).

Copyright: Rights as defined by US Copyright Law (Title 17 of the United States Code), and further specified by the 1992 University of California Policy on Copyright Ownership or any amendments to that policy, or its successor, see <http://policy.ucop.edu/doc/2100003/CopyrightOwnership>.

Embargo/Delay of Access: The amount of time before a scholarly article will be made available after it is accepted by a publisher. Under this policy, authors may specify an embargo of any length, or honor a publisher’s request for one.

Employees: All faculty, academic appointees (includes academic administrative officers, Cooperative Extension and University Extension appointees, librarians, residents, interns, and postdoctoral scholars), students who are employed by UC, staff, and administrators who are paid a salary, stipend, or hourly rate, excluding those holding “Without Salary” appointments, volunteers, and recalls.

Executive Officers: The President of the University of California, the Provost and Executive Vice President for Academic Affairs, the Chancellors of the UC campuses, the Director of the Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources.

Final Version: An author’s final revised version of a scholarly article, generally post-peer reviewed, but not necessarily the typeset publisher's copy, unless allowed by the publisher.

License or Copyright License: A grant of rights made in accordance with Copyright Law (USC Title 17), allowing specified uses of a copyrighted work.

Open Access: The free availability of scholarly literature on the public internet, permitting users to read, download, copy, distribute, print, search, or link to the full texts of articles for any lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet.

Open Access Repository: Any digital archive or platform designed to make articles freely available via the internet with clearly defined legal restrictions on their use or circulation. The California Digital Library's eScholarship platform is the default repository for this policy.

Scholarly Articles: Published research articles in the broadest sense of the term. A narrower term could have the effect of excluding works published in a certain format, discipline or practice. For example, the term "scholarly journal articles" might exclude those who publish in edited volumes; the term "peer-reviewed scholarly articles" might exclude law reviews which are reviewed by students or by editorial collectives.

Student: An individual for whom the University maintains student records and who: (a) is enrolled in or registered with an academic program of the University; (b) has completed the immediately preceding term, is not presently enrolled, and is eligible for re-enrollment; or (c) is on an approved educational leave or other approved leave status, or is on filing-fee status. This definition applies to undergraduate, transfer, graduate academic, and graduate professional students.

Waive/Opt out: To waive or opt out, means to decline to grant the University the license described in section III.B.1 below. A waiver can be obtained from the University of California's Office of Scholarly Communication website, see <http://osc.universityofcalifornia.edu/open-access-policy/waiver-embargo-addendum/>.

University of California: The "University of California" refers to The Regents of the University of California.

University Authors: Non-Senate employees and students of the University of California who author scholarly articles while employed by the University of California. University Authors are covered by this policy whether or not they own the copyright in an article, in accordance with the 1992 University of California Policy on Copyright Ownership or any amendments to that policy, or its successor, see <http://policy.ucop.edu/doc/2100003/CopyrightOwnership>.

III. POLICY TEXT

This policy does not apply to any members of the Academic Senate, who are covered by the Open Access Policy passed by the Academic Senate of the University of California on July 24, 2013, see

http://osc.universityofcalifornia.edu/openaccesspolicy/OpenAccess_adopted_072413.pdf

f. Procedures to be followed if the Academic Senate changes its policy are outlined in Section IV.D below.

A. General

This Open Access Policy allows University Authors (see Section II for definition of University Authors) to maintain legal control over their research articles while making their work freely and widely available to the public. The policy does not require University Authors to publish in open access journals, or to pay fees or charges to publish; it commits the University and University Authors to deposit a version of each article in a digital repository and to choose whether to make it freely and openly available to the public.

This policy covers two classes of University Authors:

Section III.B. covers University Authors who do own the copyright to their works, as specified in the 1992 UC Copyright Policy or its successor. University Authors who own the copyright to their works may waive the license in B.1 below, or request an embargo as specified in sections V.B and V.C below.

Section III.C. covers University Authors who do not own the copyright to their works, as specified in the 1992 UC Copyright Policy or its successor. University Authors who do not own the copyright to their works may not waive the license in B.1 below, but may request an embargo as specified in V.C below.

B. University Authors Who Own the Copyright to their Scholarly Works

1. Grant of License and Limitations

Each University Author grants to the Regents of the University of California a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same, for the purpose of making their articles widely and freely available in an open access repository. This policy does not transfer copyright ownership, which remains with University Authors under existing University of California policy.

2. Scope and Waiver (Opt-Out)

This policy applies to all scholarly articles authored or co-authored while the person is an employee of the University of California except for any articles published before the adoption of this policy and any articles for which a University Author entered into an incompatible licensing or assignment agreement before the adoption of this policy. Upon express direction by a University Author, application of the license will be waived for a particular article or access to the article will be delayed for a specified period of time.

3. Deposit of Articles

To assist the University in disseminating and archiving the articles, University Authors are expected to help the University obtain copies of the articles. Specifically, each author will provide an electronic copy of his or her final version of the article to the University of California by the date of its publication for inclusion in an open access repository. When appropriate, a University Author may instead notify the University of California if the article will be freely available in another repository or as an open-access publication.

Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication. This policy neither requires nor prohibits the payment of fees or publication costs by University Authors.

C. University Authors Who Do Not Own Copyright in their Scholarly Works

The University recognizes that members of the University community who do not own their copyrights under the 1992 University of California Policy on Copyright Ownership may also be authors of scholarly articles. In these cases, the University will promote open access in accordance with Section B above. Specifically, the University will retain the right to make such articles available in an open access repository. Upon request by the author, the University will grant an embargo period, as described in Section V.C below. Upon a showing of compelling circumstances, the University may grant a waiver, as described in Section V.B below. These authors must also deposit a copy of the final version of each article for inclusion in an open access repository, as described in Section B.3 above and Section V.A below.

IV. COMPLIANCE / RESPONSIBILITIES

A. Authority

The Provost and Executive Vice President for Academic Affairs is the Responsible Officer for this policy and has the authority to implement the policy and to develop procedures or other supplementary information to support implementation. S/he will work with the California Digital Library (CDL), which has responsibility for 1) coordinating, with the locations, systemwide processes for deposit; and 2) managing software for harvesting, waivers, embargos, and deposits. As the Provost's designee, the Vice Provost for Academic Personnel and Programs has responsibility to manage issues of policy interpretation, in consultation with stakeholders.

The Executive Officer at each location is authorized to establish and is responsible for local communication about the policy using existing committees, councils, and mechanisms.

B. Revisions to the Policy

The President has the authority to approve revisions to this policy upon recommendation by the Provost and Executive Vice President for Academic Affairs.

The Provost and Executive Vice President for Academic Affairs has the authority to initiate a review of the efficacy of this policy and to initiate revisions to this policy.

C. Compliance with the Policy

As the Provost and Executive Vice President for Academic Affairs' designee, the Vice Provost for Academic Personnel and Programs is responsible for the administration of this policy. S/he will work with the California Digital Library to obtain data or other information to inform assessment of the policy.

The Executive Officer at each location will designate an office or individual to assess policy use and compliance. The Executive Officer is accountable for ensuring that local communication and interpretation are consistent with this policy.

D. Coordination with the Academic Senate Open Access Policy

The Provost and Executive Vice President for Academic Affairs has the authority to determine the process to be followed in the event that the Academic Senate updates or changes its open access policy (adopted July 24, 2013) in ways that affect the congruence of the Senate policy with the Presidential policy.

V. PROCEDURES

In support of this policy and of the Open Access Policy adopted by the Academic Senate on July 24, 2013, the following procedures will be implemented to allow all authors (Senate, Non-Senate or otherwise) of scholarly articles at the University of California to make their works openly available.

A. Deposit a Scholarly Article in the UC Open Access Repository

All Academic Senate authors and all University Authors may make a final version of their articles publicly and freely available by using the University of California's "eScholarship" digital repository via <http://www.escholarship.org/> or any other open access repository. All University Authors are expected to deposit their final version to an open-access repository by the date of publication, to the extent practicable. If any author specifies an embargo (section V.C below), the author may deposit the article either by the date of publication or by the date the embargo period expires. Academic Senate authors may and University Authors will be encouraged to deposit an article even if they choose to waive the license grant to the University.

B. Generate a Waiver

By their own choosing or upon request from a publisher, all Academic Senate authors and University Authors who own their copyright to a given article may waive the grant of license to the University described in section III.B.1 above. To do so, an author simply has to generate a waiver at the University of California’s Office of Scholarly Communication website, see <http://osc.universityofcalifornia.edu/open-access-policy/waiver-embargo-addendum/>.

C. Specify an Embargo Period

By their own choosing or upon request from a publisher, all Academic Senate authors and University Authors may delay the date of appearance of their articles (“embargo” the article). To do so, an author simply has to specify the embargo period (usually six or twelve months) at the time of deposit at the “eScholarship” website (<http://www.escholarship.org/>).

D. Choose a License

At the time of deposit at the “eScholarship” website (<http://www.escholarship.org/>), all Academic Senate authors and University Authors may choose the terms of use that will be applied to each article; for example, whether it can be subject to commercial or non-commercial reuse.

E. Obtain an Addendum

Although not necessary, all Academic Senate authors and University Authors may request an Addendum for each article to be provided to publishers at the time of signing their author agreement. The Addendum notifies the publisher that the article is subject to either the Presidential Open Access Policy or the Academic Senate Open Access Policy. Addenda can be requested at UC’s Office of Scholarly Communication website, see <http://osc.universityofcalifornia.edu/open-access-policy/waiver-embargo-addendum/>.

VI. RELATED INFORMATION

1. [UC Academic Senate Policy on Open Access](#), July 24, 2013
2. [UCSF Open Access Policy](#)
3. [2013 University of California Open Access Policy website](#)
4. [What you need to know about the UC Academic Senate Policy on Open Access](#)
5. [UC Policy on Information Technology Accessibility](#)
6. [Open Access Policy Implementation \(OAPI\) Project](#)
7. [UC Policy on Copyright Ownership \(1992\)](#)

VII. FREQUENTLY ASKED QUESTIONS

[UC’s Office of Scholarly Communication Open Access Policy FAQ](#)

VIII. REVISION HISTORY

N/A

Proposed Presidential Policy on Open Access: Additional Information and Frequently Asked Questions for Systemwide Review

Prepared by the Provost's Task Force on Open Access

The Provost's Task Force on Open Access was created in response to a request by the Academic Senate, which passed an Open Access Policy governing all Senate members on July 24, 2013, after two years of thorough review. In passing its own Open Access Policy, the Academic Senate requested that the President and the Provost and Executive Vice President for Academic Affairs extend the same rights and responsibilities to all those at the University of California who author scholarly articles but are not members of the Academic Senate. *This proposed Presidential Policy on Open Access covers all employees of the UC system who author scholarly articles but who are not members of the Academic Senate.* This policy would facilitate access to scholarly articles published by members of the UC community by reserving strong but non-exclusive rights to make such scholarly articles available via open access repositories. Both the Academic Senate Open Access Policy and this proposed Presidential Policy on Open Access are similar to those adopted at over 200 academic institutions and are aligned with the policies of federal funding agencies. This policy would not commit authors to publish in open access journals, nor would it require (or prevent) payment to publish.

All open access policies, including the one under review, make use of existing US copyright law in order to do the following four things. *First*, the policy collectively reserves a non-exclusive copyright license that pre-empts any transfer of copyright to a publisher and allows an author to make his or her work available as he or she sees fit, independently of the published version in a scholarly journal. *Second*, the policy commits authors to depositing their work in a digital repository and gives them the option to make it openly and freely available. (The default repository for UC is the eScholarship repository of the California Digital Library, but the use of other open access repositories will satisfy the policy.) *Third*, the policy allows individuals to opt out of making their work available in any given case, or to delay access to a work (embargo). And *fourth*, the policy outlines procedures by which authors may deposit work in eScholarship, and request a waiver or embargo (to delay access).

The draft policy covers two cases for members of the UC community: 1) those non-Senate authors who own their copyright; and 2) those non-Senate authors whose copyright is owned by the University. (See FAQs for a brief description of UC copyright policy, which outlines these differences in copyright ownership at UC.) This Presidential Policy on Open Access does not change UC copyright policy; it merely relies on it to determine who owns a copyright in a scholarly work and who does not. This policy is designed to facilitate open access regardless of whether the employees own the copyright in their work. Where employees do not own their copyright, this policy retains sufficient rights to allow open access and allows such authors to set an embargo where necessary.

In cases where UC owns the copyright in a work, the UC Office of General Counsel will determine whether a waiver will be granted to a publisher who requests it or to an author who wishes to transfer a copyright completely. In all other cases, authors may obtain a waiver or set an embargo by visiting the California Digital Library Open Access site (<http://uc-oa.info>).

Section V of the proposed policy outlines open access procedures for all authors of scholarly articles, both Senate and non-Senate members. The proposed policy defines implementation procedures that all employees may use to make their work available, or to obtain a waiver or an embargo.

The proposed policy, and specifically section III, differs from the current Academic Senate Policy (as of July 24, 2013) only in the requirement to deposit a copy of each article both when there is a waiver and when there is not. In this respect it most closely resembles the policy passed by UCSF on May 12, 2012. In all other respects, the language, scope, and responsibilities set forth are those that the Academic Senate approved in its own policy.

Although the issues related to scholarly publishing are complex and fraught, open access policies are designed to be simple. They have the admirable goal of making work as widely available to the public as possible with respect for academic freedom and for the exigencies of publishing scholarship rapidly and efficiently. The main goal of the Presidential Policy on Open Access is for authors to deposit their articles in a repository so that their work is available to the public (including other academic institutions) and for archival purposes. The proposed policy does not define any penalties or consequences for failing to do so or for declining to make a work open access.

Updated September 2014

Briefing FAQs

The questions below pertain to the proposed Presidential Policy on Open Access. Extensive FAQs covering many of the general issues surrounding open access are available at <http://osc.universityofcalifornia.edu/open-access-policy/policy-faq/>

Why is this Presidential Policy on Open Access necessary?

There are two main reasons for this policy. First, not all authors of scholarly articles at UC are Senate members. In passing its own open access policy covering all Senate members, the Academic Senate made a recommendation to the President to extend similar rights and responsibilities to all authors within the UC community; for example, those authors who are represented by bargaining units will review this policy in the context of current contracts governing their employment. Second, this policy defines the procedures for implementing open access at the University of California for both Senate and non-Senate authors.

How do I know if I am an Academic Senate Member?

For a list of all titles conferring membership in the Academic Senate, see [Regents Standing Order 105.1](#) and the [Academic Personnel Manual, Section 110- 4\(4\) \(APM - 110-4, Academic Personnel Definitions\)](#).

How do I know if I own my copyright?

Copyright ownership of scholarly articles written by UC personnel is governed by the 1992 UC Policy on Copyright Ownership. Under this policy, ownership of a scholarly article depends on several factors. In general, certain faculty members who have a general obligation to produce scholarly articles *own* the copyrights to their scholarly works. Also, if the work was done outside the scope of UC employment and without the use of UC resources – which will apply to many registered students – then copyright ownership generally will reside with the author(s). On the other hand, if the scholarly work is considered “sponsored work,” “commissioned work,” “contracted facilities work,” or “institutional work” – as those terms are defined by the 1992 UC Policy on Copyright Ownership – then ownership resides with UC. (In general, those four categories cover situations where works are produced through the use of UC resources or in performance of sponsor agreements.) For more information about copyright ownership at UC, please review the policy: <http://policy.ucop.edu/doc/2100003/CopyrightOwnership>

Please note that this proposed Presidential Policy on Open Access does not change copyright policy but instead uses it to determine copyright ownership and process in the proposed policy.

Additional information and FAQs can be found on the California Digital Library’s Open Access website: <http://uc-oa.info>