

IV. ACADEMIC ISSUES (2002)

A. *FACULTY*

The Standing Orders of The Regents state that appointments, promotions, demotions, and dismissals of all faculty members (and other employees) shall be under the jurisdiction of the President of the University, and of the Secretary, Treasurer, and General Counsel of The Regents in their respective areas of responsibility, except as otherwise provided in the Bylaws and Standing Orders. These other provisions include appointments of Regents' Professors and University Professors, which are voted on by the Board on the recommendation of the President, following consultation with the Committee on Educational Policy. Dismissal of an academic appointee who holds tenure or security of employment shall be voted by the Board upon recommendation of the President of the University, following consultation with the appropriate Chancellor. Prior to recommending dismissal, the Chancellor shall consult with the appropriate advisory committee(s) of the Division of the Academic Senate. Standing Order 101.1(d) states specifically that no political test shall ever be considered in the appointment and promotion of any faculty member or employee.

As noted previously in Chapter II on **Governance**, the faculty share in university governance through the Academic Senate. The Academic Senate is delegated authority in instructional matters and, through its committee system, consults with the administration and The Regents on a broad spectrum of issues. The Senate is composed of all regular ranks of faculty and major campus and administrative officers and functions as the voice of the faculty in University governance. The Universitywide Assembly of the Academic Senate represents Senate faculty of the entire university. It meets three times a year to take official action on matters involving more than one campus. The Academic Council acts as the executive arm of the Assembly and meets monthly. Members of the Academic Council are the Chair and Vice Chair of the Assembly, the Chairs of each of the nine campus Divisions of the Senate, and the Chairs of six of the Universitywide standing committees. These are the Universitywide Committee for Educational Policy (UCEP), Planning and Budget (UCBP), Academic Personnel (UCAP), Faculty Welfare (UCFW), the Coordinating Committee on Graduate Affairs (CCGA), and the Board of Admissions and Relations with Schools (BOARS). Other Senate committees include the University Committee on Research Policy, the Committee on Academic Freedom, and the Education Abroad Program. Additional information about the academic Senate is available at <http://www.ucop.edu/senate/>

Policies and Publications on Academic Issues

Academic Personnel Manual

<http://www.ucop.edu/acadadv/acadpers/apm/welcome.html>

The Academic Personnel Manual defines the terms and conditions of employment of faculty and other academic personnel. It covers such topics as evaluation, promotion, tenure, sabbatical leaves, etc.

Academic Senate Manual

<http://www.ucop.edu/senate/manual/mantoc.html>

The Academic senate manual contains the bylaws and regulations of the Academic Senate.

University of California Faculty Handbook

September 1995

<http://www.ucop.edu/acadadv/acadpers/handbook/welcome.html>

This Handbook for UC faculty members is written primarily for ladder rank faculty, but many sections are applicable to non-Senate faculty and other academic appointees. It provides summary information on the written policies of the University, including memoranda of understanding with collective bargaining agents, as well as providing a guide to where official policies and more detailed information can be found.

Publications

Description of the Tenure and Post-Tenure Review at the University of California

1997

<http://www.ucop.edu/acadadv/acadpers/tenure.html>

To maintain the excellence of the faculty, the University of California has a thorough and rigorous academic personnel review process which spans the entire career of each faculty member. The review process involves contributions from the individual, the department, the dean, Academic Senate committees, and the Chancellor or Vice Chancellor.

**Report of the Universitywide
Task Force on Faculty Rewards
Office of the President**

1991

<http://www.ucop.edu/acadadv/acadpers/pi>

This report examines current criteria by which performance is measured and reviews how they are interpreted and implemented in individual faculty personnel actions. The Task Force concluded that it is both necessary and desirable to be more flexible in interpreting and applying the criteria, both in a single review period and over an entire career path.

B. PROGRAM REVIEW

Program review occurs at both the campus and the Universitywide levels. Review bodies and staff evaluate existing programs and proposals for new programs according to criteria of academic quality, need, student demand, resource requirements, duplication, job market for graduates, and other considerations. On campus, review of existing and new programs is the shared responsibility of the departments, the schools or colleges, faculty committees of campus Divisions of the Academic Senate, the Deans, Academic Vice Chancellors, and Chancellors. At the Universitywide level, committees of the Academic Senate and the Office of the President play a role in review and approval of new graduate programs and new Organized Research Units, and review of new degree authorizations, e.g., a Master of Fine Arts on a campus that does not have such a degree. Graduate programs must be submitted to the California Postsecondary Education Commission for review and comments. In certain cases, the Regents give final approval to new programs.

Campuses submit five-year academic plans to the Office of the President on campus philosophy guiding academic program, academic unit, and research unit changes for the upcoming five years; the implications of this statement of philosophy for adding new programs and units in the next five years; and the implications for transferring, consolidating, discontinuing, or disestablishing existing programs or units in the upcoming five years. This statement of campus philosophy is developed jointly by the campus administration and Divisional Senate.

All UC campuses participate in voluntary regional accreditation and, in addition, many of the programs are accredited by professional organizations such as the Accreditation Board for Engineering and Technology, Association of American Law Schools, Association of American Medical Colleges, American Society of Landscape Architects, Council on Education of American Veterinary Medical Association, Commission on Teacher Credentialing, and Computer Science Accreditation Board.

Publications on Program Review

Status of Proposed Academic Program Changes

<http://www.ucop.edu/acadinit/appr/apprtoc.html>

The inventory of academic program changes provides information on the status of reviews for academic degree programs, academic schools/colleges and departments, and Organized Research Units and Multi-campus Research Units. Reviews pertain to the establishment of new programs, names changes, and the transfer, consolidation or discontinuance of programs.

Universitywide Review Processes for Academic Programs, Academic Units, and Research Units

1999

<http://www.ucop.edu/acadaff/ato>

This Compendium presents Universitywide review processes for creating and changing academic degree programs, academic units, and research units. The Compendium was prepared by a subcommittee of the UC Academic Planning Council (APC) as part of its plan to streamline Universitywide review processes.

C. RESEARCH

The California Master Plan for Higher Education establishes the University of California as the primary research agency for the State of California. The University encourages a broad spectrum of research and creative activity of the highest possible quality, from basic to applied, across the full range of academic disciplines. The University's commitment stems from its obligation to advance knowledge, to educate both undergraduate and graduate students, and to serve the economic and cultural needs of society. The **Office of Research** in the UC Office of the President receives advice on current research issues, concerns, and developments important to the University from councils and committees representing different constituencies within the University. These include the Council on Research, the Universitywide Committee on Research Policy (UCORP), the Committee on Latino Research, the President's Engineering Advisory Council, and the Technology Transfer Advisory Committee (TTAC). These groups report to the UC President with the exception of the Universitywide Committee on Research Policy (UCORP). Although UCORP reports formally to the Chair of the Academic Council, its concerns and opinions are important to the Office of Research as representative of the voice of the UC faculty. <http://www.ucop.edu/research/councilFrame.html>

Within the Office of the President (UCOP), the **Office of Research** works with other UCOP offices and divisions, including the Division of University and External Relations, the Division of Health Affairs, the Division of Agricultural and Natural Resources, the Office of Technology Transfer, and the Office of Research Administration, as well as the ten UC campuses, and the three DOE laboratories to: develop University positions on major policy issues related to research; provide leadership in identifying and developing strategic responses to major research opportunities and initiatives, and provide mechanisms to facilitate them; help coordinate activities in Sacramento and Washington D.C. concerning state and federal research projects and legislative matters related to research; ensure oversight of DOE laboratory programs and foster research collaborations between the campuses and the national laboratories; oversee multicampus research units and programs; and demonstrate and advocate for the economic and social utility of research to California and the nation.

The University endeavors to provide space, funds, and facilities for the research programs of faculty members. Much research funding comes from extramural sources. Members of the Academic Senate and certain other academic titles are eligible to submit proposals for research or training grants to external sponsors. Those sponsors include the Federal government, the State government, and private sponsors such as private industry, foundations, or charities. University funds are made available for research through departments or equivalent units, and through Organized Research Units (ORUs) which are generally interdepartmental or interdisciplinary in scope. All members of the Academic Senate are eligible for research grants allocated on the recommendation of the Senate Committees on Research on each campus. Faculty who are not members of the Senate may seek research support in cooperation with Senate members or through other campus funding sources. Grant application procedures are determined by each campus.

With core budgetary support from the University, ORUs and MRUs leverage external funds from governmental agencies, private and corporate foundations, and industry. Although they do not administer courses, they contribute to graduate training and education through the involvement of students in faculty research and through direct sponsorship of graduate student research. Most ORUs and MRUs also offer opportunities for undergraduate students to participate in research activities, and by doing so, enrich the undergraduate learning experience at UC.

The **Office of Research** at the UC Office of the President also provides funding and administrative oversight to some 31 multicampus research programs (MRUs). (See <http://www.ucop.edu/research/progFrame.html>). These include both formally-established Multicampus Research Units and multicampus research programs structured very similarly to MRUs, but not formally established by Academic Senate and Regental action. MRUs and multicampus research programs sponsor programs of competitive faculty research; most also

engage in public service and research dissemination activities. Most are housed at a host campus and some operate highly-specialized and sophisticated facilities. A small number have programmatic offices at the Office of Research. MRUs and multicampus research programs are the Universitywide equivalent of single campus Organized Research Units and centers; both are governed by the Administrative Policies and Procedures Concerning Organized Research Units. A Directory of Organized Research Units is maintained and updated by the UCOP Office of Research, as is an online database containing programmatic, financial, personnel, and contracts and grants information on all ORUs and MRUs.

Some multicampus research programs have offices at the UC Office of the President, Office of Research, as do similar multicampus programs which are administered by the Division of Health Affairs and the Division of Agriculture and Natural Resources in the Office of the President. These are described below.

1. **UCOP ACADEMIC AFFAIRS DIVISION: OFFICE OF RESEARCH PROGRAMS**

As the research arm of the State, UC provides its resources and the expertise of its faculty to help solve the State's problems, and to offer other assistance as requested. In addition, the Office of Research coordinates or directly administers several multicampus research programs. Some have their own web sites, as indicated. Further information about most of them can be found through the UCOP Department of Research website at <http://www.ucop.edu/research/>

California Institutes for Science and Innovation

<http://www.ucop.edu/california-institutes/welcome.html>

The California Institutes for Science and Innovation, initiated in December 2000, are an unprecedented three-way partnership between the state, California industry, and the University of California. Each of the four Institutes focuses on a research field key to the future of California's economy, bringing together UC's world-class scientists and students with industry researchers in a cooperative research and education effort that will produce both new knowledge and the next generation of scientists and technological innovators. The California Institutes for Science and Innovation undertake basic, multi-disciplinary research on complex problems requiring the kind of scope, scale, duration, equipment, and facilities that they uniquely provide. The cooperative UC-industry effort will speed the delivery of public benefits through new products, technologies, services, and jobs. The state plans to invest \$100 million in each institute, and has challenged UC and industry to match every dollar provided by the state with at least two dollars in non-state funding an effort that has been extremely successful to-date. Four institutes represent a billion-dollar, multidisciplinary effort that focuses public/private resources and expertise simultaneously on research areas critical to sustaining California's economic growth and its competitiveness in the global marketplace.

QB3: Institute for Bioengineering, Biotechnology and Quantitative Biomedical Research. San Francisco is the lead campus in cooperation with the Berkeley and Santa Cruz campuses and private industry. The Institute will harness the quantitative sciences to integrate our understanding of biological systems at all levels of complexity - from atoms and protein molecules to cells, tissues, organs and the entire organism. This long-sought integration will allow scientists to attack problems that have been simply unapproachable before, setting the stage for fundamental new discoveries, new products and new technologies for the benefit of human health.

Cal-(IT)²: California Institute for Telecommunications and Information Technology. San Diego is the lead campus in cooperation with Irvine and San Diego campuses. Cal-(IT)² will research and develop prototype technologies to extend the reach and capacity of the "new Internet." Sweeping changes in the structure and scale of Internet telecommunications will occur over the next decade as large numbers of mobile "end points" - information appliances, sensor arrays and embedded processors - are added to digital wireless extensions of the current Internet.

CITRIS: Center for Information Technology Research in the Interest of Society. Berkeley is the lead campus in cooperation with Davis, Merced, and Santa Cruz. CITRIS will be the first to create and harness information technology to tackle society's most critical needs: energy, transportation, seismic safety, education, healthcare, farming, and the environment. With participation from engineers, scientists and social scientists, the initial focus of the institute's research is to develop the technical foundations of such Societal-scale Information Systems (SIS) to meet many of California's grand-challenge needs within years rather than decades. Initial work will provide distributed "smart classrooms" for enhanced education and training, "smart buildings" that adapt their environment to their inhabitants, an urban SIS for transportation management, disaster response, seismic planning and environmental monitoring, and a medical alert network to monitor and treat patients.

CNSI: California Nanosystems Institute. Los Angeles is the lead campus in cooperation with the Santa Barbara campus. The California NanoSystems Institute will explore the power and potential of manipulating structures atom-by-atom to engineer new materials, devices and systems that will revolutionize virtually every aspect of our quality of life, including medical delivery and health care, information technologies, and innovations for the environment. The ability to design new materials and assemble them into complex systems permits the creation of structures-by-design with idealized properties far beyond those found in nature. These structures and the potential they hold will be the catalysts for the technological revolutions that will define the enterprises

of the 21st century and drive the health and growth of both the California and the global economy.

California Policy Research Center

<http://www.ucop.edu/cprc/>

The California Policy Research Center (formerly California Policy Seminar) was established in 1977. It is a systemwide research and public service program charged with applying the extensive research expertise of the UC system to the analysis, development and implementation of state policy and federal policy issues of statewide importance. CPRC is convened by the Governor, the President pro Tempore of the Senate and the Senate Minority Leader, the Speaker of the Assembly and the Assembly Minority Leader, and the President of the University of California, who appoint a 25-member Steering Committee to oversee the Center's work. CPRC provides technical assistance to policy makers, commissions policy-relevant research by UC faculty and affiliated researchers on major statewide issues, oversees legislatively mandated research projects, and disseminates UC research findings through publications, special briefings in the state capitol and other locations throughout California, and other activities co-sponsored with university-based programs and state government entities. Working closely with state government officials and campus-based academic programs, CPRC draws from the expertise of all UC campuses, Cooperative Extension, and the UC-managed national laboratories. Elected officials, government specialists, and journalists participate in announcing the findings of CPRC-sponsored projects, and the resulting publications are widely distributed.

Pacific Rim Research Program

<http://www.ucop.edu/research/pacrim/>

The Pacific Rim Research Program is a multicampus program established in 1986 to encourage Pacific Rim research on all campuses of the University of California and to help focus the University of California's intellectual resources toward the study of the Pacific Rim as a distinctive region. It sponsors a competitive grants program that provides funds for University of California faculty and graduate students who do research on Pacific Rim topics in a variety of disciplines. Its priorities are: (1) research undertaken collaboratively with colleagues in other disciplines, other campuses, and other institutions, especially those abroad; (2) research that compares phenomena across national boundaries, or deals with interactions or flows between nations; and (3) research that looks at common problems affecting the whole of the Pacific Rim region.

University of California Humanities Research Initiative

<http://www.ucop.edu/research/human.html>

University of California Humanities Research Initiative, founded in 1987 by President David Gardner, is designed to enhance the role and effectiveness of the Humanities

throughout the University of California. Four major components make up the Humanities Initiative: (1) the Humanities Research Institute, located on the Irvine campus (<http://www.hri.uci.edu/>); (2) the President's Research Fellowships in the Humanities for faculty; (3) graduate student fellowships awarded to every campus; and (4) individual Centers for the Humanities, fostering research on every campus. The Initiative is entirely funded by University resources and overall budget of about \$2.5 million is allocated each year by the President's Advisory Committee on Research in the Humanities to the four programs.

The second of these programs, **The President's Research Fellowships in the Humanities** (<http://www.hri.uci.edu/>), is administered by the UC Office of the President and is designed to encourage faculty research in the Humanities throughout the University of California. The Fellowships are intended to increase the support for research available to individual faculty members in the Humanities by providing a new source of funds and, where appropriate, augmenting funds from extramural agencies and campus grants. Fellowships are awarded on the basis of research proposals in an annual Universitywide competition modeled on that of the NEH. The Fellowships are underwritten by an annual grant from the Office of the President and supplemented by one-third matching funds from the awardees' campuses.

Initiative for Industry-University Cooperative Research

<http://uc-industry.berkeley.edu/>

The Industry-University Cooperative Research Program was launched in 1996-97 and is designed to help the State's economy by funding research initiatives in fields critical to the State's economy, and create new research partnerships between California business and UC researchers. The Industry-University Cooperative Research Program (IUCRP) receives \$21.6 million from the State, \$3 million from the University, and more than \$35 million in Industry matching grants. It has grown rapidly from \$3 million in January 1996 to its current \$60 million a year. More than \$100 million has already been invested in research partnerships. Several programs have expanded to a cumulative total of \$12-16 million (State/University/Industry). In addition, California businesses and UC faculty continue to explore other targets for new matching grant programs that can advance the California economy, including environmental technologies and new materials.

The Industry-University Cooperative Research Program is guided by the President's Board on Research and Economic Development, an advisory group composed of leaders from California businesses, economists, and public policy experts. It is governed by a University Steering Committee composed of representatives of the faculty, the Academic Senate, senior research administrators, the Office of Technology Transfer, and others.

The IUCRP administers six matching grant programs aimed at high technology business sectors that are intended to: 1) promote essential early-stage research in science and engineering in UC laboratories; 2) educate scientists and engineers for California's knowledge-driven industries; 3) leverage State and business dollars in the highest quality joint research projects; and 4) accelerate research as a foundation for new products and technologies, new markets, and business expansion that creates new high paying jobs for Californians. The six are described briefly below and in more detail at the program Web site.

The Biotechnology Strategic Targets for Alliances in Research (STAR) Project was launched July 1996 with \$5 million in UC funding and is designed to amplify California's leadership in both basic research and commercialization of biotechnology.

Communications Research (CoRe) promotes research in wired, wireless, and internet technologies. CoRe was launched in 1998-1999 with \$2 million in annual base funding from the State and UC. CoRe launches 10-20 new research partnerships amounting to approximately \$5 million each year in Industry, State, and UC funding. CoRe's jointly supported research partnerships are addressing challenges emerging as the communications industry continues to evolve alongside the expanding use of personal communications devices, multimedia applications, and the Internet. CoRe is expanding needed basic research, promoting interdisciplinary research, and providing research training for California's future communications workforce needs.

Digital Media Innovation (DiMi) Program, begun in 1998, is a matching grant research program that links UC faculty and students with California digital media industries. It supports early-stage research projects developed by UC investigators in conjunction with digital media companies. Companies provide \$1:\$1 matching of DiMi funding, on a project-by-project basis.

Life Sciences Information Technology (LS: IT) was launched in 1999 to build partnerships between UC researchers and entrepreneurs in traditional California industries in the life sciences, including health care, agriculture, environment, and marine resources who, together, could advance the frontiers of technology.

The MICRO Program for Microelectronics, established in 1981, aims to enhance economic development through industry-UC research collaborations. With an annual funding base of \$4.6 million from the University, it has consistently attracted matching funds from industry exceeding that base. It awards funds to faculty-initiated research projects that are jointly supported by microelectronics companies. MICRO also provides graduate student fellowships to ensure an uninterrupted supply of well trained scientists and engineers for California's microelectronics industry.

Semiconductor Manufacturing Alliance for Research and Training (SMART) Program. The SMART Program is a University-industry matching grant program that supports basic research and education in next generation semiconductor manufacturing in partnership with California industry. The focus of research projects is on semiconductor materials, equipment, and processing.

2. UCOP OFFICE OF HEALTH AFFAIRS PROGRAMS

The Office of Health Affairs at UC Office of the President is home to the **Special Research Programs** which administers State funds for three research programs (see <http://www.ucop.edu/srphome/>)

The California Breast Cancer Research Program (BCRP), established pursuant to passage by the California Legislature of the 1993 Breast Cancer Act, is responsible for administering funding for breast cancer research in the State of California. BCRP's goal is to reduce the human and economic costs of breast cancer in California. The Breast Cancer Act calls for funding innovative and creative breast cancer research that compliments - rather than duplicates - research that has been funded by the federal government or other agencies. The BCRP directs state funds toward important topics in breast cancer that are less well supported by federal research dollars, and that are of particular importance to the people of this state.

The Tobacco-Related Disease Research Program

The Tobacco-Related Disease Research Program was established by the University of California, through legislative mandate, to manage all fiscal and programmatic aspects of the Research Account specified under Proposition 99, the Tobacco Tax and Health Protection Act. It supports research into the causes, prevention and treatment of the deadly and debilitating diseases related to tobacco use, the effectiveness of diverse educational approaches, and identification of high-risk populations so messages can be targeted effectively.

Universitywide AIDS Research Program

In 1983 the Legislature of the State of California determined to augment the University of California's research budget to provide for the solicitation and support of meritorious research projects related to AIDS at nonprofit institutions within California. The University of California's Universitywide AIDS Research Program (UARP) was established to administer and coordinate all aspects of the application and funding process.

3. UCOP DIVISION OF AGRICULTURE AND NATURAL RESOURCES

The **Division of Agriculture and Natural Resources** supports a number of programs that focus research on solving priority problems in agriculture, natural resources, and human development throughout California. Additional information is available at <http://danr.ucop.edu/statewide.htm>

Natural Reserve System: founded in 1965, the Natural Reserve System provides university level teaching, research, and public outreach at 33 protected natural areas throughout California..

ANR Research and Extension Centers: conduct research and provide educational programs at Centers located throughout the state.

UC Wildland Resources Center: coordinates research and extension activities on wildland throughout the state.

UC Center for Water Resources: engages UC with other institutions to develop ecologically sound and economically efficient water management policies and programs.

Kearney Agricultural Center: conducts research in soil, water and plant sciences.

M. Theo Kearney Foundation of Soil Science: funds research and sponsors outreach through an endowment-supported program that

UC Sustainable Agriculture Research and Education Program: integrates three main goals--environmental health, economic profitability, and social and economic equity.

UC Statewide IPM Project: develops and promotes the use of integrated and ecologically sound pest management programs in California since its establishment 1980.

Forest Products Laboratory: promotes effective and environmentally sound wood utilization practices.

Agricultural Personnel Management Program: provides education and research on labor management in the food and fiber production system.

Genetic Resources Conservation Program (GRCP): Facilitates maintenance of California genetic resources collections and research and education on genetic

resources conservation.

4. OFFICE OF TECHNOLOGY TRANSFER

The University of California (UC) **Office of Technology Transfer** (OTT) oversees UC systemwide efforts to encourage the utilization of the results of University research for the public benefit. OTT assists members of the faculty and staff in patenting and licensing inventions and in working with industry in support of the University's education, research, and public service mission. The technology transfer program integrates a range of activities carried out throughout the system to facilitate the commercialization of promising early stage technologies that arise during the course of research. These activities are guided by the University of California Patent Policy, which encourages the practical application of UC research for the broad public benefit and outlines the responsibilities of the faculty, staff, and others in using the patent system and pursuing the licensing of University technology <http://www.ucop.edu/ott/>.

Policies and Procedures on Research

Universitywide policies and procedures pertaining to research are available on the Web at <http://www.ucop.edu/research/policies.html>. Specific policies pertaining to Research Integrity, Regulatory Requirements for Conducting Research, Extramural Funds, and Relations with Industry are briefly described below.

Research Integrity

University Policy on Integrity in Research (June 1990)

<http://www.ucop.edu/raohome/cgmemos/90-01SI.html>

The policy requires Campuses and Laboratories to have necessary guidelines and procedures to provide appropriate responses to allegations of misconduct in research. When extramural funds are involved, local guidelines and procedures also should comply with conditions of the award, including applicable regulations issued by the sponsor of the research.

University Policy and Procedures for Reporting Improper Governmental Activities and Protection Against Retaliation for Reporting Improper Activities (Whistle Blower Policy)

(January 1990)

<http://www.ucop.edu/ucophome/policies/bfb/g29d.html>

The Policy, which relates to requirements of the "Reporting of Improper Governmental Activities Act" (Sections 10540 to 10551 of the California Government Code), provides for establishment of local procedures for employees and others to report improper governmental activities and for development of a process for hearing complaints of interference or retaliation for filing such reports.

Publication Policy and Guidelines on Rights to Results of Extramural Projects or Programs

<http://www.ucop.edu/raohome/cgmanual/chap01.html>

It is a long-standing University policy that freedom to publish or disseminate results is a major criterion of the appropriateness of a sponsored research project. Normally a contract or grant is unacceptable if it limits this freedom.

Policy to Permit the Use of the University's Name (1985)

<http://www.ucop.edu/raohome/cgmanual/chap01.html#1-320>

The name "University of California" is the property of the State (California Education Code Section 9200). Industrial sponsors of University research may not state or imply in any publication or other published announcement that the University has approved any product. The University does not allow its name to be used in connection with any form of business promotion or publicity, or to be referred to in a research agreement without prior written approval.

Use of University Research Facilities, University Regulation No. 4, Special Services to Individuals and Organizations

<http://www.ucop.edu/raohome/cgmanual>

Academic Personnel Manual Section 020 (1958) establishes the basic framework of University policy regarding the types of acceptable activities and the conditions under which the University will perform services under contract involving the use of University facilities.

Regulatory Requirements for Conducting Research

University policy has required that all activities involving human beings be reviewed to determine whether these persons were being placed at risk. The policy does not distinguish between research and other activities (e.g., demonstration projects), however, there are adequate protections for individuals who participate in activities other than research.

University Policy for Medical Treatment of Human Subjects for Injuries Resulting from Participation in Research

(January 1979)

<http://www.ucop.edu/raohome/cgmemos/86-21.html>

The University of California will provide to any injured subject any and all medical treatment reasonably necessary for any injury or illness which a human subject suffers as a direct result of participation in an authorized University activity covered by University policy on the protection of human subjects in research or reimburse the subject for the costs of such treatment, except when injury or illness is a result of a research procedure

designed to benefit the subject directly.

University Policy on Gender and Ethnicity Representation in Health Research (June 1993)

<http://www.ucop.edu/research/gender.html>

It is the policy of the University of California that its health research as a whole, to the extent possible, be conducted so that the findings will be relevant to all persons at risk for the diseases, disorders, or conditions studied; and when possible and applicable, that minorities and women be included in studies of diseases, disorders, and conditions that disproportionately affect them. This Policy applies to all clinical research studies.

Requirements for Administration of Agreements with Private Sponsors for Drug and Device Testing Using Human Subjects

(February 1995)

<http://www.ucop.edu/raohome/cgmemos/95-05.html>

Uniform requirements have been established to insure minimum standards for acceptance and administration of agreements for testing proprietary drugs or devices for private entities. These requirements do not apply to drug or device development and testing under a University-initiated protocol financed intramurally or federally.

University Policy on Protection of Human Subjects in Research

(September 1981)

<http://www.ucop.edu/raohome/cgmemos/86-21.html>

University policy has required that all activities involving human beings be reviewed to determine whether these people are being placed at risk. The policy does not distinguish between research and other activities (e.g., demonstration projects), however, there are adequate protections for individuals who participate in activities other than research.

University Policy on Environmental Health and Safety

(October 1986)

<http://www.ucop.edu/raohome/cgmanual/chap03.html#3-200>

It is the policy of the University of California to maintain a reasonably safe environment for its students, academic appointees, staff, and visitors. University operations shall be conducted in compliance with applicable regulations, and when appropriate, with accepted health and safety standards.

University Policy and Procedures on Curation and Repatriation of Human Remains and Cultural Items (2001)

<http://www.ucop.edu/research/policyFrame.html>

It is the policy of the University of California to assure the respectful and dignified treatment of human remains and the consideration of living descendants of those deceased.

The University recognizes that individuals and communities have cultural and religious concerns that must be considered in determining the treatment and disposition of human remains in its collections.

Obtaining Extramural Funds

University Policy on the Use of Animals in Research and Teaching (October 1984)

<http://www.ucop.edu/raohome/cgmem>

The University policy sets forth common procedures that assure the continued maintenance of high standards of animal care and use within the University. The policy calls for University compliance with specific federal standards and requirements.

Regents' Resolution on Research (July 1970)

<http://www.ucop.edu/raohome/cgmanual/chap01.html#1-120>

The Regents of the University of California reaffirm the importance of research in teaching, national defense, and public service; and resolve to continue direct sponsorship of research projects and administrative support of extramurally funded research programs, and to continue to encourage state, federal, and private active support of research activities.

Principal Investigator Guidelines

<http://www.ucop.edu/raohome/cgmanual/chap01.html#1-500>

An individual who proposes to head an extramurally supported research, training, or public service project is required personally to participate in the research to a significant degree. It is contrary to University policy, and is viewed with disfavor by sponsoring agencies, to list as head of a project an individual, however prestigious that person may be, who will contribute only a minimum or nominal portion of their own time and effort to the furtherance of the work.

**Research Funding Systems
(Relationships, Reviews, and
Reforms)**

<http://www.ucop.edu/raohome/cgmanual/chap19.html>

Federal agencies may use two different mechanisms to provide funds to State governments and other recipients in furtherance of public programs, including research: assistance and acquisition, as herein defined.

**Policy on Gifts/Grants for Research
(July 1980)**

<http://www.ucop.edu/raohome/cgmanual/>

Provides guidelines on classification of funds as gifts or grants in order to insure greater consistency on the campuses.

**Policy on the Requirement to Submit
Proposals and To Receive Awards
for Grants and Contracts Through
the University**

(December 1994)

<http://www.ucop.edu/raohome/cgmemos/95-01.html>

The requirement that all proposals for grants and contracts must be submitted through the University is necessary to ensure compliance with relevant University policies and procedures governing the conduct of research and other extramural activities. This Policy does not apply to permissible consulting activities which do not utilize University resources or facilities.

Relations with Industry

The Office of Technology Transfer provides information on policies and practices relevant to working with industry. Intellectual property guidance pertaining to: Sponsored Research/Research Collaborations; Technology Transfer and Licensing; Biological Materials Transfers; and Consulting with Industry is available through OTT's Research Administration Office at <http://www.ucop.edu/raohome/>.

**Guidelines on University-Industry
Relations** (May 1989)

<http://www.ucop.edu/raohome/cgmemos/89-20.html>

The Guidelines are designed primarily to assist faculty in their relations with industry. They summarize relevant University policies and seek to clarify relationships and obligations between the University of California and private industry. They address issues that arise for faculty and academic researchers in particular.

**University of California
Patent Policy** (October 1997)

<http://www.ucop.edu/ott/patentpolicy/first.html>

The University of California Patent Policy encourages the practical application of University research for the broad public benefit.

**Policy on Accepting Equity when
Licensing University Technology**
(February 1996)

<http://www.ucop.edu/ott/equi-pol.html>

The University may accept equity in a company as partial consideration for technology licensing-related transactions in appropriate circumstances pursuant to the following provisions of UC Policy.

**University Policy and Guidelines
on the Reproduction of Copyrighted
Materials for Teaching and
Research**

(April 1986)

<http://www.ucop.edu:80/ucophome/uwnews/copyrep.html>

This Policy is intended to embody the spirit of academic tradition, which provides copyright ownership to faculty for their scholarly and aesthetic copyrighted works, and is otherwise consistent with the United States Copyright Law, which provides the University ownership of its employment-related works.

**University Policy on Copyright
Ownership** (August 1992)

<http://www.ucop.edu/ucophome/uwnews/copyr.html>

Major limitation on the exclusive rights granted to the copyright owner is the doctrine of "fair use" (17 United States Code, Section 107) which permits certain limited copying of copyrighted works for educational or research purposes without the permission of the copyright owner. "Fair use" is a limited exception to the exclusive use of the copyright owner, which if exceeded, can subject the one making unauthorized copies and the University to severe penalties. The wide availability of copying machines has created a situation where this exception can easily be breached. To provide guidance to all University employees, the policy and guidelines are to be used to determine whether copying is within the "fair use" doctrine.

**University Policy on
Disclosure of Financial Interest
in Private Sponsors of Research**
(1984)

<http://www.ucop.edu/research/policyFrame.html>

A principal investigator must disclose whether or not he or she has a direct or indirect financial interest in the sponsor of research which is funded in whole or in part (a) through a contract or grant with a non-governmental entity or (b) by a gift from a non-governmental entity which is earmarked by the donor for a specific research project or a specific principal investigator.

Conflict of Interest Policy 1997

<http://www.ucop.edu/regents/econintrest.html>

The University's overall policy on conflict of interest is that none of its faculty, staff, managers, or officials shall engage in any activities which place them in a conflict of interest between their official activities and any other interest or obligation.

Policy and Procedures on Disclosure of Financial Interests Related to Research

(October 1997)

<http://www.ucop.edu/research/policyF>

This Policy responds to recent requirements of the Public Health Service (PHS) and the National Science Foundation (NSF) that institutions provide for the disclosure and review of interests of investigators that are related to their research.

Other

The University of California (UC) Office of Technology Transfer (OTT) oversees UC systemwide efforts to encourage the utilization of the results of University research for the public benefit. OTT assists members of the faculty and staff in patenting and licensing inventions and in working with industry in support of the University's education, research, and public service mission. More information is available at <http://www.ucop.edu/ott/>, including *The Annual Report* of the Office of Technology Transfer.

Contract and Grant Manual

<http://www.ucop.edu/raohome/cgmanual/>

This Manual provides the policies of the University of California for the solicitation, acceptance or execution, and administration of awards from extramural sponsors for the conduct of research, scholarly and professional training, and public service.

Technology Transfer Policies and Reports

<http://www.ucop.edu/ott/>

Selected Technology Transfer Policies and Reports are available at a Website; these include policies on patent, equity, copyright, disposition of gross patent income, and guidelines on University-industry relations.

See also **UC Means Business** at <http://www.ucop.edu/ucophome/commserv/pubs.htm>