

ITEM FOR INFORMATION

Subject: Implementation of the Regents' Policy on Research Grants, Contracts, and Agreements, FY06

A. The Regents' Policy

In April 1987 the Regents approved a policy on openness in research grants, contracts, and agreements. The policy outlines the principles to be used in balancing open scholarly exchange and academic freedom in those rare instance in which they conflict. By policy, the Vice President for Research consults annually with the Senate Assembly Research Policy Committee (RPC) and then reports to the Regents.

B. Implementation Procedures for the Regents' Policy

The Vice President for Research has implemented procedures for the Regents' Policy that

- a) Define certain contract restrictions that are "standard" and which may be accepted directly by our research contract negotiators.
- b) Require higher level review and approval for acceptance of classified research contracts and those containing "non-standard" language.

C. Experience during FY06

In FY06, the Vice President reviewed two (2) new requests for approval of contractual restrictions on openness from two different academic units. These requests represented 0.04% of the 4,733 proposals submitted and 0.11% of the 1,743 awards accepted during that same period.

Requests to the Vice President for Approval of
Contractual Restrictions on Openness During FY06

Non-Standard Restrictions		Classified Restrictions	
Requested:	2	Requested:	0
Approved:	1	Approved:	0

D. Policy Experience, FY88-FY06

The Vice President for Research has submitted an Information Item to the Regents annually since FY88. The table below shows that the number of requests for non-standard restrictions represent a very small and relatively stable proportion of research agreements proposed or accepted by the University. The University conducts very little classified research.

Requests to the Vice President for Classified and Non-Standard Restrictions Compared with
Proposal and Award Activity FY88-FY06

			Non-Standard Restrictions		Classified Restriction	
	Proposals	Awards	Requested	Denied	Requested	Denied
FY 88	2287	1949	16	1	2	0
FY 89	2812	1666	6	0	5	0
FY 90	2904	1551	11	0	1	0
FY 91	2807	1513	18	0	5	0
FY 92	3078	1641	8	0	4	0
FY 93	2939	1494	7	0	1	0
FY 94	3141	1532	9	0	4	1
FY 95	3054	1545	9	0	1	0
FY 96	3048	1533	9	1	0	0
FY 97	3171	1656	10	0	1	0
FY 98	3063	1619	10	0	0	0
FY 99	3329	1600	6	0	0	0
FY 00	3459	1713	9	1	0	0
FY 01	3529	1700	6	0	0	0
FY 02	3538	1715	15	0	1	0
FY 03	3899	1711	11	1	0	0
FY 04	4492	1871	13	2	0	0
FY 05	4506	1824	17	0	0	0
FY 06	4733	1943	2	1	0	0

E. Consultation with the RPC

The Regents' Policy requires an annual consultation with the RPC on its implementation. The RPC consultation for FY06 occurred on March 9, 2007. OVPR staff provided an account of how the implementation process works and answered questions about the considerations taken into account by the Vice President in deciding to approve specific requests. The committee explicitly supported OVPR's implementation of the Regents' Policy for FY06.

Respectfully submitted,



Stephen R. Forrest
Vice President for Research

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