Chairs' & Center Directors' Meeting Minutes

Date: January 26, 2009 (12:00 to 2:00 pm)
Location: EBU II – Room 443
Attendees: Abbaschian, Reza
Balandin, Alex
Barth, Matt
Bhanu, Bir
Bhuyan, Laxmi
Boretz, Mitch
Dexter, Jim
Haddon, Robert
Hartney, Pat
Mahalingam, Shankar
Matsumoto, Mark
Parker, Linda
Payne, Tom
Ravishankar, Chinya
Schultz, Jerry
Yan, Yushan
Absent: Lake, Roger
Norbeck, Joe

The agenda for the meeting is shown in Appendix 1.

1. Welcome – Request for Agenda Items from the Floor – Reza
Reza stated that this meeting will include a Closed Session to discuss the current budget situation and will also include a presentation from the Office of Research on Federal Regulations. Agenda items added were CRAMS (Shankar) and space for grad students (Laxmi).

2. Minutes Approval - Pat
The revised minutes of the 1/12/09 Chairs/Directors meeting were unanimously approved as submitted.

3. Budget Discussions (Closed Session) - Reza
At the conclusion of the Closed Session, Reza asked each Chair to provide ideas at the next Chairs meeting on ways to reduce departmental or BCoE expenses and/or increase non-state sources of income. Reza stated that BCoE will have to provide scenarios for 10% and 15% state budget reductions. These scenarios should include the impact of these reductions on teaching, research, enrollments, etc.

4. Undergraduate Education - Ravi

Ravi requested input from the Chairs on where to hold this year's event for students being offered Regents or Chancellors Scholarships. BCoE will be responsible for organizing this (early March) event for prospective engineering students but UCR Student Affairs will provide funds for refreshments. After brief discussion, the decision was made to hold this event in the patio area of EBUII in the morning hours.

Ravi distributed a summary of Freshmen applications to BCoE departments. In total, applications are up 18% from last year. A large number (805) of this increase is due to applications for the new BS/MS program although only 133 applicants are actually qualified for entry to the program. Also, Ravi indicated that UCR will be limiting Freshmen enrollment to 4,000 vs 4,400 last year. He stated that UCR needs to develop an enrollment management plan to allocate these students across campus academic units. UCR will not be accepting late applications nor late SIR's this year.

Ravi also distributed a recent article in the Washington Post entitled "Want to Engineer Real Change? Don't ask a Scientist." He stated that most people don't understand the difference between a scientist and an engineer.

Laxmi stated that it appears that NSF's budget will increase significantly as part of the federal government's stimulus plan. He encouraged BCoE faculty to submit proposals to any open RFP since additional funds may be available for these solicitations.

Ravi reminded the Chairs that they will need to make quarterly reports on the progress their departments are making on ABET requirements. These quarterly reports will begin soon.

5. BCoE Distinguished Lecturer Series - Jim

Jim reminded Chairs and Directors that this year's first BCoE Distinguished Lecture is scheduled for 3pm, Tuesday, January 27th in EBUII 205/206. A reception will follow the Lecture. The Speaker will be Dr. Maria Klawe, President of Harvey Mudd College. She was previously Dean of Engineering at Princeton University. The title of her presentation is "Gender, Computing and Engineering."

6. Graduate Education - Mark

Mark noted that BCoE domestic and international graduate applications are up around 7% this year. He stated that about 10 BCoE graduate applications have been routed through the new GradSis system to the Graduate Division so far.

Reza distributed a document entitled "Plan for Campus-Wide Graduate Program Review for Strategic Planning Process." This document was prepared by the Grad Division to help align campus goals with resources for graduate programs. Reza stressed that this Graduate Program review will be different from the undergraduate and graduate reviews being undertaken by UCR's Academic Senate.

7. Other Items

Shankar stated that ME has had problems getting courses through CRAMS by the mid-December deadline. Some courses are being rejected for relatively minor issues such as a course's list of topics not coinciding exactly with the chapters in the textbook. Ravi commented that the course submission procedure is too elaborate and the Academic Senate's Committee on Courses needs to simplify the process.

8. Federal Regulations – Dr. Charles Louis and Bruce Morgan

Dr. Louis and Bruce Morgan distributed copies of a powerpoint presentation on Ressearch Issues, News and Updates. This document included the following topics: Agreements with Korean Entities, SBIR & STTR Proposals/Awards, Citizenship Issues, Export Control News, UC Export Control Compliance Plan, Yale University $7.6M Settlement, NSF Declines to Review BCoE Proposal and NSF Policy Changes. Bruce pointed out that one of the major issues in the Yale Settlement was improper charging of faculty

summer salary to contracts/grants. He is advising faculty to spread out summer salary over the 3 month summer period instead of taking 100% in one month. It was pointed out that some BCoE faculty receive 3 months of summer salary support. In those cases, the faculty member needs to commit 100% of his/her professional effort each summer month to the contract/grant that is providing the salary support. This means the faculty member cannot be supervising grad students working on other projects, attending conferences not related to the sponsored projects, taking vacation, etc.

Dr. Louis also provided copies of a 1/23/09 letter from he and Joe Childers that provides guidance related to the NSF implementation of the America COMPETES (America **C**reating **O**pportunities to **M**eaningfully **P**romote **E**xcellence in **T**echnology, **E**ducation, and **S**cience) Act and the impact on Postdoctoral Training. Charles explained that NSF now requires that a mentoring plan be contained within the 15 page project description for proposals that include postdoctoral scholars.

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BOURNS COLLEGE OF ENGINEERING

Chairs' & Center Directors' Meeting

January 26, 2009
Agenda

Engineering Building Unit II – Room 443

1.	Welcome - Request for Agenda Items from the Floor	Reza
2.	Approval of Minutes from January 12, 2009 Meeting	Pat
3.	Budget Discussions	Reza
4.	Federal Regulations	Dr. Louis/B. Morgan
5.	BCoE Distinguished Lecturer Series	Jim
6.	Graduate Education	Mark
7.	Undergraduate Education	Ravi
8.	Other Items	Pat

The next scheduled meeting will be
Monday, February 9, 2009
Please note: Meetings will be held in EBU II – Room 443

FRESHMEN	Applicants				Qualified BS+MS		Admits	
MAJOR	1/23/2009	BS + (BS+MS)	1/25/2008	Increase	(GPA > 3.6, SAT >1900)		1/23/2009	1/25/2009
Bioengineering	296		261	13%			241	197
Business_Informatics	39		33	18%			20	17
Chemical_Engineering	165		205	-20%			113	143
Chemical_Engineering_BS+MS	101	266		**30%**	23		0	
Computer_Engineering	438		498	-12%			289	293
Computer_Science	271		422	-36%			164	273
Computer_Science_BS+MS	245	516		**22%**	49		0	
Electrical_Engineering	325		294	11%			221	184
Environmental_Engineering	123		116	6%			92	
Environmental_Engineering_BS+MS	116	239		**106%**	18		6	
Materials_Science_and_Engineering	31		53	-42%			23	31
Mechanical_Engineering	425		599	-29%			310	430
Mechanical_Engineering_BS+MS	343	768		**28%**	43		1	
TOTALS								
BS + (BS+MS)	2918		2481	**18%**			**1480**	**1568**
BS+MS Only	805				133		7	

washingtonpost.com

Want to Engineer Real Change? Don't Ask a Scientist.

By Henry Petroski
Sunday, January 25, 2009; B04

"We will restore science to its rightful place," President Obama declared in his inaugural address. That certainly sounds like a worthy goal. But frankly, it has me worried. If we want to "harness the sun and the winds and the soil to fuel our cars and run our factories," as Obama has decreed, we shouldn't look to science. What we need is engineering.

To be fair, Obama's misconception is a common one. Most people who aren't scientists or engineers seem to think that science and engineering are the same. They're not. Science seeks to understand the world as it is; only engineering can change it.

That's not what most high-school teachers or even college professors tell their science students. But the truth is that full scientific understanding isn't always necessary for technological advancement. Take steam engines: They were pumping water out of mines long before a science of thermodynamics was developed to explain how they worked. The engines were what prompted researchers to look into the nature of steam power in the first place.

This may make me a heretic, but I'll take the argument a step farther: Science can actually get in the way of technology. In the 19th century, some scientists were convinced that even the largest steamship couldn't carry enough coal for transatlantic trips. Only when skeptical engineers designed ships that made this supposedly impossible task possible were the naysaying scientists forced to reconsider.

And think about the Wright brothers, who refused to believe that only birds were meant to fly. If Wilbur and Orville had waited for the publication of a sophisticated textbook on aerodynamics, they might never have left their bicycle shop in Dayton for the dunes of Kitty Hawk. Engineering, not science, enabled them to develop propellers that worked in the air the way a ship's propeller spins through water.

Steamships and flying machines may seem like things of the past, but the ingenuity behind them couldn't be more relevant today. Some of our greatest energy challenges require engineering breakthroughs, not scientific discoveries. The principles that explain how a battery works, for example, are old news. But a lightweight and cost-effective battery pack with enough juice to power a car over long distances remains an elusive goal.

The same is true of fuel and solar cells. Scientists established long ago that natural processes involving chemicals and sunlight can produce electricity. We need engineers to make the cells lean enough to compete with coal and oil. Science alone is never enough.

The president and his green team -- particularly Energy Secretary Steven Chu -- appear to understand the urgency of the world's energy problems. I'm not so convinced that they accept that science, for all its beauty, is not the best place to seek practical fixes. Obama should keep his promise to "restore science to its rightful place" -- and put engineering on at least an equal footing.

petroski@duke.edu

Henry Petroski is a professor of civil engineering and history at Duke University. He is at work on a book about science, engineering and global challenges.

Draft

Plan for Campus-Wide Graduate Program Review for Strategic Planning Process

In the best of all possible worlds, we would be able to take the Campus vision/goals as articulated by the Chancellor, consider how graduate programs might advance these goals, and then consider how we might measure them. Such a process might look a bit like this:

Campus Vision/Goals	How Graduate Programs can advance these goals	How to measure Graduate Program success in these areas
1. **Become a top-ranked, global research university**: achieve profile of an AAU member university; attract and maintain a diverse, world-class faculty. 2. **Invest in areas of strength**: achieve distinction in selected areas 3. **Expand opportunities for students and increase student success**: become "first choice" campus that offers a nurturing learning environment for students 4. **Reshape the curriculum to match AAU profile**: build upon student diversity & faculty quality 5. **Diversify faculty, staff and graduate student population**: achieve distinction in this regard 6. **Increase opportunities for graduate and professional education**: build professional schools 7. **Forge closer ties with the community**: organize and coordinate with others to achieve common goals for prosperity and sustainability of the Inland Empire through technology transfer, attraction and retention of highly skilled jobs and industries, and responsiveness to regional issues; provide a welcoming and stimulating environment for friends/supporters; be a source of regional pride; be a leader in regional economic and cultural development. 8. **Develop resources and provide infrastructure needed to achieve these goals.**	1. Become a highly-ranked program nationally and internationally 2. Become a distinguished program in one or more subdisciplines. 3. Offer an engaging and vibrant graduate education experience and achieve a high level of student satisfaction and success; contribute to the undergraduate education mission. 4. Provide a dynamic curriculum that evolves with the discipline 5. Attract and retain outstanding minority faculty and graduate students 6. Expand faculty expertise and areas of specialization in the curriculum 7. Work on issues of local and regional importance and interact regularly with the community 8. Obtain extramural funding and develop other sources of revenue; invest in infrastructure	1. Reputational rankings (NRC, USN&WR, disciplinary surveys, etc.); number of invited presentations per faculty; number of national and international awards per faculty and per student; numbers of applicants/admits/enrollments; percentage of applicants/admits/ enrollments who are international; quality of the domestic applicant pool (GRE/GPA). 2. Similar to 1. 3. Retention; time to degree vs. normative time; number of Ph.D's (or terminal degrees) per faculty per year; placement; percent of faculty engaged in graduate education; teaching evaluations; faculty productivity relative to discipline (*Academic Analytics*); number of TAs 4. Number of new courses and course content revisions in the past 5 years. 5. Percent of URM faculty and students; number of URM awards to faculty and students 6. Number of cooperating faculty (departmental programs); percent of cooperating faculty involved in graduate education (departmental); number of recent faculty hires (departmental) or additions to participating faculty (interdepartmental). 7. Percent of faculty and students working on research with local/regional impact; local press coverage; number of community-focused workshops/seminars hosted. 8. Grant funding per faculty member; average amount of self-support by students; total gifts received in past 5 years; total endowments and annual expenditures; major infrastructure purchases or facility improvements in past 5 years

BCOE DEPARTMENT CHAIRS MEETING – RESEARCH ISSUES, NEWS AND UPDATES

January 26, 2009

Agreements with Korean Entities

- Three agreements with different Korean entities over last half of 2008
- Ownership claims on intellectual property
  - Assignment of ownership Korea – sole owner
  - Broad definition of intellectual property
    - Patentable inventions conceived or reduced
    - Ideas, know-how, designs, drawings, copyrights, software, lab notebooks, reports
  - Designated research results to be confidential
- Jeopardizes PI's ability to use research results, inventions, copyrights, materials, etc. in future research

SBIR & STTR Proposals/Awards

- UC Policy on the Requirement to Submit Proposals and Receive Awards for Grants and Contracts Through the University
  - Applies to faculty and students employed by UCR
- Conflict of interest
  - State and Federal requirements may apply
- Conflict of commitment
  - APM 025 may apply
- Consult with OR before applying

Citizenship Issues

- May arise under any type of agreement, but mostly
  - Industry agreements under Federal prime awards
  - Federal contracts from DoD (especially DARPA)
- US citizenship as an eligibility requirement
  - Contrary to long-standing UC policy that prohibits discrimination based on citizenship, residency status or Visa category
  - Exceptions must be approved by the Chancellor and President
  - By practice, training grants and fellowships have generally been exempted

Citizenship Issues

- Sponsored award terms that require UCR to provide citizenship information
  - "The provision of information regarding citizenship, nationality, country of origin, or visa status to any sponsor, other than the U.S. Citizenship and Immigration Services (USCIS) [formerly the Immigration and Naturalization Service (INS)], the Department of Labor or "to a governmental entity when required by State or Federal law" is a violation of the Immigration Reform and Control Act of 1986 (P. L. 99-603) and the California Information Practices Act of 1977 (Civil Code Section 1798 et seq.)."
  - Also prevents UCR from compelling its employees and students to provide/submit such information

Export Control News

- University of Tennessee, Knoxville – Emeritus Professor J. Reece Roth indicted and convicted
  - 15 counts of violating the Arms Export Control Act
  - 1 count of conspiracy to defraud the US Air Force
  - 1 count of wire fraud
- Maximum sentence
  - 160 years and $1.5M in fines
- Acting Assistant Attorney General
  - Verdict "should serve as a warning to anyone who knowingly discloses restricted U.S. military data to foreign nationals."

Export Control News

- J. Reece Roth Export Control Violations
  - Exporting restricted technical data to a foreign national
  - Exporting restricted technical data in travel to the PRC
  - Directed a PRC student to export restricted technical data to a PRC contact
  - Allowed an Iranian student to have access to restricted equipment

UC Export Control Compliance Plan

- Stay within the Fundamental Research Exemption created by NSDD 189
  - Fundamental Research (basic and applied) conducted at UC must remain unrestricted
    - Cannot accept publication restrictions
    - Cannot accept awards containing access or dissemination controls
      - Citizenship, residency, nationality, Visa status restrictions
      - Classified/proprietary research
- Secure a license prior to exporting any controlled article or traveling to embargoed countries

Things to Remember – Export Controls

- Before shipping items outside the U.S., check with Material Management to determine of the items are subject to export control license requirements
- Don't enter into secrecy agreements or otherwise agree to withhold results of a project conducted at the University or that involve University facilities, students or staff
- Don't accept proprietary information from anyone that is marked "Export Controlled" or has other similar markings

Things to Remember – Export Controls

- Don't agree to background checks, screenings or clearances or an external sponsor's approval of project staff
- In the course of conducting research or disseminating research results
  - Don't sign DD2345 – Militarily Critical Technical Data Agreement
  - Don't sign Questionnaire for Public Trust Positions and National Agency Check
  - Don't attend a meeting where foreign nationals are prohibited or where U.S. citizenship or permanent residency status is required for admission

Yale University $7.6M Settlement

- Reached with DOJ to resolve allegations that Yale violated the False Claims Act and the common law regarding management of federal grants
- DOJ investigation covered grants from 31 federal agencies awarded between January 2000 and December 2006
  - DHHS, NSF, DOE, DOD and NASA awards made up ~94% of the $3 billion in federal grants received by Yale during that period

Yale University $7.6M Settlement

- Allegations and Focus of Investigation
  - ***Cost transfers*** - Yale researchers improperly authorized/ordered the transfer of charges to a federal grant to spend down remaining funds in the absence of any benefit to the charged award
  - ***Salary charges*** – Yale researchers certified time/effort reports to substantiate 100% of their summer salary, which was charged to federal awards, but where the researchers had devoted significant effort to performing other, unrelated work

Yale University $7.6M Settlement

- Corrective actions taken by Yale during the investigation included
  - Establishing an Office of Research Administration and Compliance and new high-level positions, including Research Compliance Officer
  - Strengthening the charter of its audit committee
  - Mandatory training programs for faculty and staff
  - Revising and updating numerous policies and procedures
  - Implementing a new web-based effort reporting system
  - Tightened oversight of cost transfers through a robust documentation and review process.

NSF Declines to Review BCOE Proposal

- Underscores the importance of adhering to published proposal format and content requirements
  - The project description did not contain a discussion of prior NSF funded results
  - Font size was smaller than allowed
  - Top and bottom margins less than one inch
  - More than 10 publications included on biosketches

NSF Policy Changes

- COMPETES Act requirements
  - Inclusion of post doc mentoring plan within 15 page project description for proposals that include support for post doc scholars
    - Part of broad impacts merit review criterion
  - Description of post doc mentoring activities in annual and final reports for grants that include funding to support post doc
  - Resources for meeting these requirements
    - SALSA workshop series for post docs
    - UCLA Tool Kit for Postdoctoral Scholars and Faculty Mentors

NSF Policy Changes

- Salary reimbursement policy
  - Senior project personnel limited to maximum of two months of regular salary in any one year
    - Exceptions allowed, but additional compensation must be disclosed in the budget with appropriate justification and must be specifically approved by NSF in the award notice
  - Important note – equivalent of two months of regular salary may be spread out throughout any one year
  - Generally, a year is defined as the annual (12 month) period of each funding segment

washingtonpost.com

Professor Is Convicted Of Sharing Technology

By Carrie Johnson
Washington Post Staff Writer
Thursday, September 4, 2008; A04

A federal jury in Knoxville, Tenn., convicted a retired university professor on conspiracy, wire fraud and export control charges yesterday for improperly sharing sensitive technology with students from China and Iran.

Plasma physicist J. Reece Roth, 70, faces more than a decade in prison when he is sentenced early next year. Prosecutors say the professor emeritus at the University of Tennessee exchanged restricted military data with foreign research assistants and traveled overseas with electronic versions of sensitive materials on his laptop computer.

The case is the latest in a series involving the Arms Export Control Act. It also is among the first in which the government sought to punish a defendant for distributing scientific know-how rather than equipment to foreigners studying at universities with military research contracts.

Roth worked with a Knoxville technology company on a pair of U.S. Air Force contracts to develop plasma-based guidance systems for the wings of unmanned vehicles from 2004 to 2006, according to court papers. The drones are used in surveillance and to house weapons. This year, the company, Atmospheric Glow Technologies, and another scientist there pleaded guilty to related charges.

In recent years, law enforcement authorities and intelligence experts have warned that military secrets could be compromised in university settings and other seemingly benign environments. They point to heightened interest from China and the Middle East.

"The illegal export of such sensitive data represents a very real threat to our national security, particularly when we know that foreign governments are actively seeking this information for their military development," said J. Patrick Rowan, acting assistant attorney general for national security.

Thomas Dundon, an attorney for Roth, did not return calls yesterday afternoon. Roth testified in the course of the seven-day trial that he had not intended to break the law.

Department of Justice Press Release

For Immediate Release
September 3, 2008

James R. Dedrick, United States Attorney
Eastern District of Tennessee
(865) 545-4167

Retired University of Tennessee Professor Convicted of Arms Export Violations

KNOXVILLE, TN—On Wednesday, September 3, 2008, a federal jury convicted retired University of Tennessee professor Dr. J. Reece Roth, after a seven day trial, of conspiracy to violate the Arms Export Control Act together with 15 separate illegal exports of military technical information relating to plasma technology designed to be deployed on the wings of drones operating as a weapons or surveillance systems. The Arms Export Control Act prohibits the export of defense-related materials, including the technical data, to a foreign national or a foreign nation. The illegal arms control exports by Dr. Roth related to technical data and information that was developed through a U.S. Air Force research and development contract to develop this advanced form of a drone. Dr. Roth was also convicted of one count of wire fraud relating to defrauding the University of Tennessee of the honest services by illegally exporting sensitive military information relating to this U.S. Air Force contract.

Dr. Roth was convicted of conspiring with Atmospheric Glow Technology, Inc., a Knoxville, Tennessee, technology company, with unlawfully exporting in 2005 and 2006 15 different "defense articles" to a citizen of the People's Republic of China in violation of the Arms Export Control Act. This law prohibits the export of defense-related materials, including the technical data, to a foreign national or a foreign nation. The illegal exports by Dr. Roth related to technical data and information that was developed through a U.S. Air Force research and development contract.

The maximum punishment for the conspiracy conviction is five years' imprisonment and a fine of $250,000. The maximum penalty for each of the Arms Export Control Act offenses is 10 years' imprisonment, a criminal fine of $1,000,000, and a mandatory special assessment of $100 for each offense. Dr. Roth's sentencing has been set for January 7, 2009, at 1:30 p.m., in United States District Court in Knoxville.

"Today's guilty verdict should serve as a warning to anyone who knowingly discloses restricted U.S. military data to foreign nationals. The illegal export of such sensitive data represents a very real threat to our national security, particularly when we know that foreign governments are actively seeking this information for their military development," said Patrick Rowan, Acting Assistant Attorney General for National Security.

United States Attorney Russ Dedrick said, "The strict enforcement of the export technology laws protects our country and its citizens. This verdict, by a jury of Dr. Roth's peers, demonstrates that our citizens and the United States will not tolerate such intentional conduct to undermine the security and

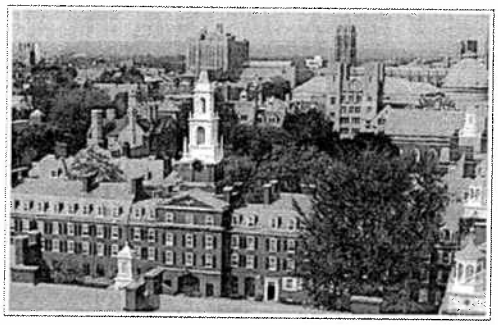
the economy of our country. Our scientific and educational communities must take precautions to insure that technology and research are protected, when required, from disclosure to foreign governments." Dedrick praised the efforts of the investigative agencies, as well as Assistant United States Attorneys Will Mackie and Jeff Theodore, for their fine work on this investigation and prosecution of the case.

The indictment was the result of an ongoing investigation by the Federal Bureau of Investigation (FBI), United States Air Force, Office of Special Investigations, Bureau of Immigration and Customs Enforcement (ICE), and Department of Commerce Export Enforcement. Assistant United States Attorneys A. William Mackie and Jeffrey E. Theodore represented the United States.

For additional information, please contact United States Attorney Russ Dedrick, Assistant U.S. Attorney William Mackie or Public Information Officer Sharry Dedman-Beard at 865-545-4167.

Yale and Federal Government Reach Settlement Agreement on Research Grant Accounting

Published: December 23, 2008



New Haven, Conn. — Yale University has today agreed to pay the federal government $7.6 million to settle issues arising from a broad, multi-year investigation of federal research grant accounting going back to 1999. The settlement covers Yale's grants with substantially all of its federal sponsors.

At the start of the investigation in June 2006, President Richard C. Levin announced the University's immediate and full cooperation. Yale produced more than a million pages of documents in response to governmental requests for information and actively assisted government investigators in analyzing questioned transactions and accounting practices.

Although Yale and the Government did not agree completely on either the nature or extent of errors in the charging of costs to federal awards, the University acknowledged that some errors did occur, particularly with respect to transfers of costs to some federal awards from other federal awards or Yale accounts. The settlement also covers inadequacies in the accounting for effort devoted by faculty to federal awards. In its agreement with the Government, Yale denied liability for any false claims or statements in connection with its grants and received a release for the conduct covered by the settlement.

In the last several years, the University has upgraded its cost accounting and effort reporting systems. In 2006, the University created the Office of Research Administration (ORA) and the positions of Associate Vice President for Research Administration and Research Compliance Officer. The new Office has developed mandatory training programs for faculty and staff, revised and updated numerous policies and procedures, implemented a new easy-to-use web-based effort reporting system, and tightened oversight of cost transfers through a robust documentation and review process.

In addition, the Yale Corporation, the University's governing body, has strengthened the Charter of the Audit Committee and mandated periodic reporting requirements on research compliance. The University also established a senior management committee to regularly review and oversee action on audit, internal control and compliance issues. A major overhaul of Yale's on-line capabilities in grant administration is under way.

In announcing the settlement to Yale's faculty and staff, President Richard C. Levin said: "We are the fortunate recipients of more than $400 million of federal research grants annually, grants that enable Yale to participate in the advancement of knowledge, the cure of disease, and the betterment of the human condition. As stewards of public funds, it is our duty to adhere strictly to the regulations."

In the period covered by the investigation, Yale received approximately $3 billion in federal grant and contract income.

PRESS CONTACT: **Helaine Klasky** 203-432-1345

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Date: January 20, 2009

From: Charles F. Louis
Vice Chancellor for Research

Bruce Morgan
Assistant Vice Chancellor for Research

To: UCR Researchers & Unit Contract and Grant Analysts

Please broadly disseminate this message within your unit to Principal Investigators and those individuals involved in the development, approval routing and submission of extramural proposals.

On several occasions in December and earlier this month, proposals to the federal government were received in the Office of Research (OR) on the same day as the sponsors' published deadlines. When OR attempted to submit these proposals via Grants.gov, we encountered a variety of technical issues that resulted in the proposals being submitted after their respective deadlines. In several cases, the Grants.gov system was simply overwhelmed by the volume of traffic throughout the deadline day. In one instance, OR first attempted to submit a proposal shortly after 12pm. However, the proposal was not accepted by Grants.gov and successfully submitted until approximately 20 minutes after the deadline, despite five hours of continuous submission attempts.

Due to the extraordinary efforts of the Contract and Grant Officers in Sponsored Programs Administration, **approximately half of the late proposals were accepted by the sponsors**. These efforts included spending hours in phone queues to speak with both sponsor and Grants.gov help desk representatives to document the technical problems we were experiencing.

An increasing number of sponsors are utilizing electronic proposal submission and there is little commonality between these systems. Therefore, we encourage all researchers to carefully plan for the preparation and submission of their proposals. It is important to note that in those instances when OR received proposals in accordance with UCR's long-standing lead times and we encountered systems difficulties and/or other

issues/complications, there was sufficient time for OR to resolve the problems and submit the proposals in advance of the proposal deadlines.

We encourage all Principal Investigators and unit staff involved in the preparation and submission of proposals to re-review UCR's campus policy regarding the review, approval and submission of proposals, which is available on the OR website at http://or.ucr.edu/policies/policies.aspx?k=8. The policy contains information on the three business-day lead time for standard proposals, the seven business-day lead time for non-standard proposals, and lists the criteria for determining whether a proposal is standard or non-standard. Additional information regarding proposal preparation and submission can also be found on the OR website at http://or.ucr.edu/SP/Lifecycle/Prepare/index.aspx.

Please note that the Contract and Grant Officer assigned to your unit is available to answer your questions regarding sponsor electronic proposal submission systems, technical problems and administrative challenges associated with such systems, and campus proposal submission policy and procedure. In addition, your Contract and Grant Officer is also available to meet individually or with groups of researchers and/or administrators within a unit to address their proposal-related questions, as well as provide guidance and advice regarding strategies and good practices for planning proposal submissions and avoiding known technical challenges with sponsor electronic proposal submission systems.

The one take away is that the ever increasing use of electronic proposal submission systems have clearly added a level of complexity to, and have increased the difficulty of, the process of submitting proposals to many of our extramural sponsors.

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Date: January 23, 2008

From: Charles F. Louis
Vice Chancellor for Research

Joseph W. Childers
Dean, Graduate Division

To: Deans, Directors, Department Chairs, and Administrative Officers

Re: Guidance related to the NSF implementation of the America COMPETES Act and the impact on Postdoctoral Training.

Please distribute this memo, widely, to NSF investigators in your department.

The recently enacted America COMPETES (America **C**reating **O**pportunities to **M**eaningfully **P**romote **E**xcellence in **T**echnology, **E**ducation, and **S**cience) Act, will affect the National Science Foundation in several ways. Most immediately, the Principal Investigator of each NSF application that includes support for postdoctoral scholars must include a mentoring plan within the 15-page project description section of the application. The annual reports and the final report for research grants that include funding to support postdoctoral trainees must also describe the mentoring activities provided to these personnel. This requirement is for all NSF proposals with due dates of January 5, 2009, and beyond.

During the transitional period between graduate school and the assumption of independent careers, postdoctoral scholars are expected to work under the oversight of a faculty mentor. Effective mentoring is an essential element of a successful postdoctoral experience. In addition to active research supervision, examples of mentoring activities include, but are not limited to: career counseling; training in preparation of grant proposals, publications, and presentations; guidance on ways to improve teaching and mentoring skills; guidance on how to effectively collaborate with researchers from diverse backgrounds and disciplinary areas, training in responsible professional practices, and training in research ethics.

Faculty working with postdoctoral scholars should be aware of the *Tool Kit for Postdoctoral Scholars and Faculty Mentors* that was recently published by the UCLA Graduate Division. Included in the *Tool Kit* are "Guidelines for Postdoctoral Scholar and Faculty Mentor Relations" which outline various aspects of the mentor-mentee relationship, and which suggest ways of establishing and maintaining that relationship based on open communication, honest appraisal and feedback, encouragement and scholarly development. This *Tool Kit* is useful for Principal Investigators submitting NSF grants on which postdoctoral scholars will be supported and is available on-line at http://www.gdnet.ucla.edu/postdocs.html.

Additional resources at UCR include the series of workshops *"Survival And Leadership Skills in Academe – SALSA"*, that the Office of Research runs every year and may be found *provide Web URL.*

NSF will evaluate proposed mentoring activities as part of the merit review process under the Foundation's "broader impacts" merit review criterion. NSF representatives suggest that applicants make it easy for reviewers to identify the information by clearly labeling the subsection within the Project Description, as proposals that do not include a separate section on mentoring activities within the Project Description will be returned without review.

Please see the NSF *Grant Proposal Guide*, Chapter II – Section C.2d(i) at http://www.nsf.gov/pubs/policydocs/pappguide/nsf09_1/gpg_2.jsp#IIC2d for additional information on the postdoctoral mentoring component of the America COMPETES Act, or contact the Grant & Contract Officer for your unit/department.