

Chairs' & Center Directors' Meeting Minutes

Date: June 16, 2008 (12:00 to 2:00 pm)

Location: EBU II – Room 443

Attendees: Abbaschian, Reza
Bhanu, Bir
Boretz, Mitch
Haddon, Robert
Hartney, Pat
Jiang, Qing
Lake, Roger
Matsumoto, Mark
Payne, Tom (for Laxmi Bhuyan)
Ravishankar, China
Schultz, Jerry

Absent: Balandin, Alex
Barth, Matt
Bhuyan, Laxmi
Deshusses, Marc
Norbeck, Joe

The agenda for the meeting is shown in Appendix 1.

1. Welcome – Request for Agenda Items from the Floor – Reza

The following topics were added to the agenda: ABET (Mitch) and BCoE Workload Policy (Roger). Reza stated that there is no new budget information although it appears that UCR's budget reduction will be around 7.5%. Reza noted that UCR's new Chancellor, Tim White, visited the campus last Friday and was briefed on the budget situation. Last Saturday's Undergraduate Commencement ceremony went well. Reza stated that he was very pleased with BCoE's faculty participation at this Commencement ceremony. The Commencement Speaker was inspirational and proposed to his girlfriend at the end of his talk. Reza suggested that the speaker's presentation and proposal be uploaded on YouTube to enhance UCR's visibility. The joint CNAS/BCoE Commencement ceremony was the largest ever. As such, future ceremonies and may need to be separated: one for CNAS and one for BCoE. 230 BCoE students graduated on Saturday. Ravi was commended on correctly pronouncing the students' names at Commencement. The Graduate Commencement ceremony is scheduled for tonight (June 16th). BCoE will graduate 47 PhD students and 41 Masters students.

2. Minutes Approval - Pat

The revised minutes of the 6/2/08 Chairs/Directors meeting were unanimously approved.

3. Undergraduate Education – Ravi

Ravi stated that the number of BCoE incoming Freshmen has stabilized at 578 with an additional 35 transfer students. This is the largest number of SIR's in BCoE's history. Ravi predicted that the high number of incoming students will cause problems in orientation and class scheduling. The Math department has indicated that it might not be able to offer as many Calculus sections for Engineering

students as originally planned. The same situation is expected in Chemistry. Increased input from Engineering faculty in the content of Math classes has been encouraged. Reza has offered to send BCoE TA's to Math to help teach these Engineering Calculus sections. He stated that the change from 4 to 5 units for some CNAS and CHASS classes didn't reduce the need for lecturers, as originally expected. Bir added that the Academic Senate will review the Math department next year. Also, he stated that the Senate's review of EE was very positive. However, he indicated that the Chair of the Senate's Education Policy Committee was not receptive to substituting ABET reviews of Engineering departments for the Academic Senate's periodic departmental reviews since these reviews serve different purposes. Ravi stated that departments will be encouraged to raise ENGR introductory classes from one credit to a variable number of credits. This change will help Engineering Honors students.

4. Graduate Education – Mark

Mark distributed the latest report on the status of BCoE's graduate student recruitment. The total number of BCoE Acceptances is 163 which is 43 above its target of 120. Even with this additional number of BCoE's acceptances, UCR is below its total target. In particular, CNAS is 75 grad student acceptances below its target. Reza noted that the Grad Division is planning to re-allocate Fellowship and/or NRT funding among academic units based on the final number of Acceptances. It was unclear when these re-allocations would be made. Reza indicated that the campus is expected to name an Interim Dean of the Grad Division before Dallas Rabenstein's departure on 6/30/08. The new Chancellor wants to be involved in the search for a Permanent Grad Division Dean.

5. Contracts and Grants Audit - Pat

Pat distributed copies of a document entitled "Summary Recommendations, Enhancing Accountability and Resolving Sponsored Programs Noncompliance." He explained that the Recommendations contained in this document were approved at the last Dean's Council in **concept** but an Oversight Committee will need to be formed. Pat and Georgianne Carlson from CNAS will serve on this Committee which will be charged with developing implementation strategies. Pat stated that it is clear that changes in the administration of contracts and grants will need to be made but that the document was mostly written by the Office of Research and focused too much on PI responsibilities and non-compliance consequences. For example, he noted that changes to the financial system could be made so that charges could not be made to contracts/grants after termination dates or after all funds are expended. This change would solve several of these noncompliance issues. It was noted that the Executive Summary of last year's review of the Office of Research has not yet been released. Robert stated that CNSE has had several audits in the last five years and that these audits divert significant attention from proposals and other programmatic efforts. Pat indicated that automated processes are being developed to assist PI's such as the on-line reconciliation system and the on-line effort reporting system but that implementation of these systems has been slow. Reza will send a message to the EVCP indicating that the campus needs to review all the campus' contract/grant systems and not focus entirely on PI's. Lastly, Pat related that no BCoE names are on the latest list of UCR employees that have not taken the required Sexual Harassment Prevention Training.

6. International Agreements - Reza

Reza pointed out the Draft UCR Campus Policy on International Agreements attached to the agenda. This Policy specifies the following routing for proposed International Agreements: Faculty Member to Dean to EVCP to Chancellor. The requirement to route International Agreements through the University Librarian was deleted. The new streamlined process will be web based and will include Agreement templates.

7. UC Dashboard - Reza

Reza pointed out the document attached to the agenda entitled “UC dashboard of strategic indicators, Outline – brief description.” He stated that the new UC President, Mark Yudof, wants to implement a Dashboard at UC similar to the one he implemented at the University of Texas. This Dashboard will include Applications, Admissions and Enrollments, Student Profiles, Student Successes and Experiences, Affordability, Student Proficiencies, Campus Rankings, Faculty quality/success and Research. Reza stated that rankings will be important and that he has concerns about BCoE’s retention and graduation rates. He stressed that the data should include a “value added” component since UCR students are different from those at UCB and UCLA. Also, the indicators should be normalized (by number of faculty) which would help UCR’s figures. Additionally, Reza noted the “Faculty Scholarly Productivity Index” attached to the agenda. This Index for UCR indicates that three of the four mature BCoE departments are ranked above the average of comparable departments across the country. The Index is based on factors such as number of papers and citations per faculty. Reza will order the complete report and will share it with the Chairs.

8. Other Topics

Roger stated that he is implementing the last draft BCoE Workload Policy since the department needs to assign instructors for Fall and Winter classes. In response to a question, Reza stated that grad students funded by external awards such as IGERT counted as being funded by the student’s faculty mentor. Reza noted that Mark has used the UCB Workload model to calculate workloads for BCoE faculty. Mark will send these calculations to Chairs (without faculty names). Reza stated that the final BCoE Workload Policy will incorporate some revised wording but that it will be implemented as of Fall 2008. Roger commented that this Policy is counter to the College’s desire to reduce the number of lecturers since Chairs may have to give more course relief to faculty. Reza responded that other faculty in the departments may have to teach more than the normal course load to make up for this. Lastly, Reza stated that he has received various input and proposed revisions to BCoE’s PhD Reward Policy. The existing Policy will stay in effect until a faculty committee recommends changes.

Mitch stated that ABET report responses from EE and CE will be submitted by ABET’s end of June deadline. Also, he presented the proposed ABET intranet website for BCoE. This website will contain all the information and reports relevant to the previous and current ABET processes in one place. It will include contacts, links, archives, alumni surveys and wiki discussions. In addition, it will include copies of Executive Committee actions on curriculum changes, Executive Committee proposals to the Academic Senate and the Senate’s responses. It was suggested that the site include (downloaded) quarterly Academic Senate divisional meeting minutes since these may be the only places that Academic Senate responses to Executive Committee requests are kept. Mitch commented that ABET Review teams will probably not be given (full) access to this intranet site. It was recommended that a search function be enabled in this intranet ABET website. Also, it was suggested that departments archive departmental meeting minutes. This archiving could be accomplished by existing staff (Rachel or Jason, for example) or by student assistants. Lastly, Mitch stated that each department should be summarizing their annual curriculum changes at this time of year.

At the close of the meeting, Tom Payne announced that he is the new Chair of the Academic Senate’s Conflict of Interest Committee.



Chairs' & Center Directors' Meeting

June 16, 2008

Agenda

Engineering Building Unit II – Room 443

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|----|---|------|
| 1. | Welcome - Request for Agenda Items from the Floor | Reza |
| 2. | Approval of Minutes from June 2, 2008 Meeting | Pat |
| 3. | Undergraduate Education | Ravi |
| 4. | Graduate Education | Mark |
| 5. | Contracts & Grants Audit | Pat |
| 6. | International Agreements | Reza |
| 7. | UC Dashboard Indicators | Reza |
| 8. | Other Topics | |

The next scheduled meeting will be
Monday, June 30, 2008

Please note: Meetings will be held in EBU II – Room 443

BCOE GRADUATE STUDENT RECRUITMENT STATUS: 2008-09 COHORT

Graduate Division Data as of June 9, 2008

Program	Apps	Admits	Accepts	Target	% of Target
BIEN	60	22	10	15	66.7%
CEE	116	47	24	22	109.1%
CS	453	121	61	52	117.3%
EE	468	116	54	40	135.0%
ME	118	30	14	22	63.6%
Total	1215	336	163	151	107.9%

Unit	Apps	Admits	Accepts	Target	% of Target
BCOE	1215	336	163	120	135.8%
CHASS	1162	318	185	194	95.4%
CNAS	1352	334	152	227	67.0%
DBS	36	11	2	4	50.0%
AGSM	339	118	62		
GSOE	203	88	66	16	
Total	4307	1205	630	561	

Graduate Division Data as of June 18, 2007

Program	Apps	Admits	Accepts	Target	% of Target
BIEN	39	14	8	8	100.0%
CEE	113	44	23	20	115.0%
CS	335	86	40	35	114.3%
EE	314	91	45	35	128.6%
ME	98	54	36	23	156.5%
Total	899	289	152	121	125.6%

Graduate Division Data as of June 9, 2008

Program	International Students			2008		
	2007	2007	2007	2008	2008	2008
BIEN	17	5	4	27	8	5
CEE	84	27	16	85	25	14
CS	273	57	23	407	93	42
EE	277	77	34	424	93	38
ME	76	42	27	93	21	10
Total	727	208	104	1036	240	109

Domestic Students

Program	2007			2008		
	2007	2007	2007	2008	2008	2008
BIEN	22	9	4	33	14	5
CEE	29	17	7	31	22	10
CS	57	28	13	46	27	18
EE	36	14	11	44	20	13
ME	21	11	8	25	9	3
Total	165	79	43	179	92	49

All Students

Program	2007			2008		
	2007	2007	2007	2008	2008	2008
BIEN	39	14	8	60	22	10
CEE	113	44	23	116	47	24
CS	330	85	36	453	120	60
EE	313	91	45	468	113	51
ME	97	53	35	118	30	13
Total	892	287	147	1215	332	158

Summary Recommendations

Enhancing Accountability and Resolving Sponsored Programs Noncompliance

BACKGROUND, APPROACH AND IMPLEMENTATION NOTES

The audit and regulatory environment has changed significantly over the last several years with an increased emphasis on transparency and accountability, especially in the area of sponsored programs administration. Recently, the Government Accountability Office incorporated the Statement of Auditing Standards (SAS) 112 in the Government Audit Standards, thereby making SAS 112 an audit standard applicable to federal audits, including A-133 audits.

While SAS 112 does not change compliance thresholds for sponsored programs administration, it has changed the standard for determining when a control issue is a control deficiency, significant deficiency or materials weakness. It has also created greater transparency by changing the standard for reporting such findings to senior management and The Regents. With this greater level of transparency and continued efforts by the NSF and PHS Offices of Inspector General to conduct audits of high risk areas for grantee systems, policies and procedures, it is important for UCR to consider internal control options that are designed to help reasonably lower/minimize risk, demonstrate its stewardship commitment, why also facilitating the conduct of sponsored programs.

The below recommendations were developed after having gathered information from UC campuses and other universities. The recommendations outline a general approach for promoting responsible management and administration of sponsored programs and resolving non-compliance issues. They also focus on specific actions that can be taken to help reduce UCR's audit exposure with respect to the high risk areas identified by the NSF and PHS Offices of Inspector General.

If it is decided that one or more of the below recommendations is/are selected for implementation, a thorough review of the recommendation and development of an implementation plan by a workgroup would be the appropriate next step. A workgroup comprised of representatives from Fiscal Services, the Office of Research, Academic Planning & Budget, and Internal Audit & Advisory Services, and including representatives from the faculty and unit administration (department and college levels) may best serve the interests of the campus. This workgroup might be further divided into subgroups to address the planning and implementation of specific recommendations. Such subgroups might also involve subject matter experts.

RECOMMENDATIONS

General

1. **General Process for Achieving Compliance** – UCR lacks a formalized approach within its policies and procedures for resolving instances of sponsored programs non-compliance. This may be viewed by external auditors as a significant deficiency or material weakness in the context of SAS 112.
 - a. **Recommendation:** Establish a procedure for implementing UCR policies and procedures that outlines the steps to be used to resolve non-compliance.

- b. **Recommendation:** Implementation procedures should reflect individual and organizational responsibility and accountability and include four phases:
- Phase 1 should involve an administrative review to identify and confirm instances of non-compliance.
 - Phase 2 should focus on achieving compliance by working with the PI and/or department administrator and escalating to the department chair, Organizational CFAO and dean if resolution is not achieved.
 - Phase 3 would escalate the matter to the Vice Chancellor for Research for determining equitable financial or administrative sanctions.
 - Phase 4 would escalate the matter to the EVC/Provost for implementation of the equitable financial or administrative sanctions. ***UC Berkeley, UC Irvine, UC Santa Barbara, Oregon State University, Rensselaer Polytechnic Institute, and Virginia Tech all engage in a similar practice of escalating non-compliance matters for resolution.***
- c. **Recommendation:** The implementation procedures should include specified time frames for response and/or achieving resolution so that a response that does not achieve resolution results in escalating the matter to the next level.
- d. **Recommendation:** The implementation procedures should also include a list of possible sanctions for non-compliance, such as not setting up an award or blocking access to one or more enterprise systems until the non-compliance issue is resolved. Other consequences for non-compliance related to high-risk issues are addressed in the High Risk area below.
2. **Reporting lines** – Deans are responsible and accountable for ensuring department chairs comply with sponsored programs management requirements and regulations set forth by the government and the University of California. However, the opportunity for control weaknesses exists due to the revolving nature of the department chair position and the reporting relationships of departmental financial managers. In general, department financial managers do not have direct reporting relationships to the College/Org CFAO, and the CFAO does not have appropriate input regarding the hiring, performance evaluation and professional development/training of department financial managers.
- a. **Recommendation:** Expand the role of College/Org CFAOs to include assessing the ability of a chair and department financial manager to appropriately monitor sponsored programs administration and management activities within their unit. Such an assessment should occur on a regular basis. In addition, College/Org CFAOs should have greater input regarding the hiring, performance evaluation, and professional development/training of department financial managers.
- b. **Recommendation:** Deans should empower department chairs/unit directors to be responsible and accountable for the overall management of sponsored programs in their departments (see Recommendation 3.b.). In the case of

clustered departments/units, the department chairs/unit directors should have equal responsibility and accountability for ensuring that the cluster MSO/FAO has implemented procedures to ensure appropriate oversight and administration of sponsored programs. At the same time, department chairs/unit directors within a cluster should be responsible and accountable for ensuring that the faculty members of their respective department/unit comply with government and UC sponsored programs administration regulations and policies.

- c. **Recommendation:** Develop a cadre of Certified Approvers. These individuals would have to pass a certification exam and would need to be recertified on a regular basis (e.g., every 2 – 3- years). Certified Approvers would typically hold positions where they regularly apply their proven ability to understand the complexity of sponsored funding regulations and University of California policies and procedures. In their position, they would be expected to use their knowledge and experience in the review and approval of a wide variety of higher-risk financial transactions on sponsored accounts. Certified Approvers would handle financial planning, accounting transactions, and record keeping on sponsored programs awards and would be an important part of the sponsored programs management team; working with faculty, staff, department heads, college deans, and Sponsored Programs Administration to effectively manage sponsored funds.
3. **Training** – a robust training and awareness program is an essential foundation for lowering/minimizing risk and demonstrating UCR's stewardship commitment in response to the new audit environment. It is also essential for developing knowledgeable and experienced support staff for UCR's researchers, developing the recommended cadre of Certified Approvers and informing faculty and department chairs of their roles and responsibilities related to sponsored programs administration.
- a. **Recommendation:** Develop a certification module to inform Principal Investigators of their role and responsibilities in the administration and management of sponsored programs. Completion of this module should be a prerequisite for PI eligibility and PIs should be required to be recertified every two to three years.
 - b. **Recommendation:** Develop a certification module for Department Chairs to inform them of their role and responsibilities in the management and administration of sponsored programs. Completion of this module should be required as part of any campus-wide training for new Department Chairs. In addition, current Department Chairs should be required to complete the module during the initial roll out.
 - c. **Recommendation:** Develop a robust training program (utilizing multiple delivery methods) for staff involved in the administration of sponsored programs that results in certification after administration of multiple knowledge assessments, and where such certification is essential to perform certain job functions (e.g., proposal budget development, basic sponsored programs financial management/analysis, etc.)
 - d. **Recommendation:** Develop a training program and certification exam in support of the recommendation to develop of cadre of Certified Approvers.

High Risk Areas

4. **Effort Reports** - are an essential part of a three stage process designed to substantiate and document appropriate salary expenses against sponsored programs. Effort reports must be certified by the employee or responsible official and returned to the Extramural Funds Accounting office. Salary expenses that are not supported by certified effort reports are considered by the federal government to be unallocable to sponsored awards and thus unallowable.
 - a. **Recommendation:** Apply the general process described above (1.b - d). In addition to or in lieu of any equitable sanctions, salary expenses related to uncertified effort should be promptly transferred to unrestricted funds under the control of the dean, department chair or unit head. ***UC Irvine, Harvard, Rensselaer Polytechnic Institute and University of Minnesota have similar practices.***

5. **Cost Transfers** – UCR has policy and procedure related to cost transfers. The UCR Financial System (UCRFS) has imbedded business rules prohibiting certain cost transfers from occurring (e.g. cost incurred before or after the award effective dates). However, there are not sufficient resources to centrally monitor and approve all cost transfers. Thus, UCR relies on its Principal Investigators and department administrators to ensure appropriate and timely cost transfers.
 - a. **Recommendation:** Conduct post-transaction reviews of high-risk cost transfers samples and where insufficient justification and/or documentation are provided apply the general process (1.b – d). In addition to or in lieu of any equitable sanctions, these expenses should be transferred to unrestricted funds under the control of the dean, department chair or unit head. ***UC Irvine, UC Berkeley, Rensselaer Polytechnic Institute, University of Minnesota and Purdue University have similar practices.***
 - b. **Recommendation:** Revise campus policy and financial systems to prohibit the transfer of costs that were previously transferred. ***Oregon State University has a similar policy.***

6. **Award Close Out: Overdrafts (i.e., Over Expenditure of Sponsored Programs Funds)** – Some departments continue to expend funds in excess of the original budget allocation and beyond the expiration of the current budget period when continuation funding is expected, even though UCR has an established Preaward policy and procedure. UCR continues to have a large number of unauthorized overdrafts which increase sponsored programs fiscal accountability risks, as well as delaying submission of financial reports. In addition, funds in an overdraft status result in lost interest earnings to the campus.
 - a. **Recommendation:** Implement a procedure whereby overdrafts are prevented by a) not allowing additional expenses to accumulate on sponsored programs with a balance of \$0 (***similar to Purdue University***); and/or b) automatically transferring expenses charged to sponsored programs with a \$0 balance to unrestricted funds under the control of the dean, department chair or unit head. ***A policy similar to option b exists on the UC Davis campus (UCD P&P 300-31).***

- b. **Recommendation:** Apply the general process (1.b – d) to those PIs and/or departments who have established a demonstrated pattern of overdraft conditions.
7. **Award Close Out: Unexpended Balances** – Unexpended balances also present financial risk to UCR. Departments use unexpended balances to continue to incur expenditures against expired funds without the benefit of pre-award approvals when continuations or extensions are anticipated. This practice may result in “unallowable expenditures”. In other situations, unexpended balances may result in excessive cost transfers at the end of the award period to “use up” remaining balances.
- a. **Recommendation:** Implement procedures whereby unexpended balances are budgetarily removed from the ledgers unless expenditure of such balances has been approved (e.g., pre-award, No-Cost Extension, and/or sponsor or institutional approved carry forward request). ***A similar policy exists at the UC Davis campus (UCD P&P 300-31).***
- b. **Recommendation:** Apply the general process (1.b – d) to those PIs and/or departments who have established a demonstrated pattern of unexpended balances.
8. **Submission of Programmatic Deliverables** – Failure to submit interim and final technical reports, patent reports and other programmatic deliverables as required by the terms and conditions of a sponsored award may lead to consequences imposed by extramural sponsors, up to and including debarring UCR from receiving federal funds.
- a. **Recommendation:** Develop and implement campus policy that clarifies campus expectations regarding the timely fulfillment of reporting obligations.
- b. **Recommendation:** Develop and implement a procedure that defines the standard process for ensuring the timely fulfillment of reporting/deliverable obligations.
- c. **Recommendation:** Apply the general process (1.b – d) for resolving delinquent reports. ***UC Irvine, UC Berkeley, UC Santa Barbara, Oregon State University, Virginia Tech, University of Minnesota and Purdue University all have similar practices.*** Sanctions might include not setting up new awards or making the PI ineligible to receive matching funds from the VCR, ***similar to UC Santa Barbara.***
- d. **Recommendation:** In addition to or in lieu of any equitable sanctions, when a sponsor is withholding payment because of a delinquent report, after applying the general process, unreimbursed expenditures should be moved to unrestricted funds under the control of the department chair, dean or unit head. ***UC Irvine and Virginia Tech have similar practices.***
- e. **Recommendation:** Develop an electronic tool within PAMIS to remind PIs of interim and final reporting/deliverable requirements and document PI certification that such deliverables have been submitted. ***UC Irvine is at the beginning***

stages of developing an eCloseout tool that will interface with their sponsored programs database.

9. **Preaward Expenditures** - UCR has a policy and process for approving preaward expenditures. However, the process is not consistently used or understood by departments, as the policy addresses some but not all of the instances for which it is appropriate to incur preaward expenditures. In addition, the practice of incurring preaward costs for one sponsored project and accumulating those costs on a different sponsored award is not consistent with UC's cost principles and results in excess cost transfers.
- a. **Recommendation:** Review and revise the Preaward Policy to clarify all instances where prior approval (either by the Office of Research or the Sponsor) of preaward expenditures is appropriate and/or required.
 - b. **Recommendation:** In the event that a department/unit incurs preaward expenditures in the absence of prior approval to incur such expenses, apply the general process (1.b – d).
 - c. **Recommendation:** In addition to or in lieu of any equitable sanctions and in the event that a department/unit incurs preaward expenditures in the absence of prior approval, the preaward expenses should a) remain on the unrestricted fund source; or b) be transferred to unrestricted funds under the control of the dean, department chair or unit head if such expenses were accumulated on a sponsored program fund.

DRAFT UCR Campus Policy XXX: UCR International Agreements

Background & Scope | Definitions | Statement | Procedures

I. BACKGROUND AND SCOPE

The Office of the EVC and Provost is responsible for the execution and administration of academic exchange and linkage agreements between UCR and foreign universities, governments, or non-profit institutions. The Office of the Executive Vice Chancellor & Provost facilitates and maintains all formal written agreements between UCR and foreign entities. The Office of Technology Commercialization and Sponsored Programs Administration, in collaboration with the Office of the EVC & Provost, ensures that related intellectual property rights, such as university publication rights, reserving appropriate rights for faculty to conduct research and commercialize technology, are specified in agreements and agreements are properly administered. Final agreements are reviewed by the Office of Campus Counsel.

This policy is applicable to all faculty members who initiate a proposal for an international agreement and if such a proposal is approved, to the appropriate Dean.

II. DEFINITIONS

The following terms and definitions are for use in the context of this policy:

An International Exchange or Linkage Agreement (IE Agreement) means a written agreement between UCR and a foreign university, government, or non-profit institution that entails a commitment of one or more University Resources for academic and research purposes and has been approved by designated signatories.

Memorandum of Understanding (MOU) means a written statement of understanding on the MOU template form provided by the Office of the EVC & Provost between UCR and a foreign university or a non-profit institution expressing a mutual intention to engage in a cooperative academic or research effort which does not involve a commitment of University Resources.

University Resources means labor, materials, or assets, both monetary and non-monetary, under the control and management of the University including University funds, facilities, office space, research materials, tools, databases, equipment, or the time or effort of University personnel. University assets include the University's names or marks, and all University intellectual property, including copyrighted materials and resources.

III. STATEMENT

No UCR faculty member or official of any unit or program may commit or agree to commit University Resources to a foreign university, non-profit institution or entity for any academic or research purpose except in accordance with the terms of a duly approved and executed IE Agreement as prescribed below. Designated officials may enter into an MOU type of agreement provided the proposed arrangement does not entail a commitment of University Resources.

A. Types of Agreements

IE Agreement

An IE Agreement shall be used in any situation involving a commitment of University Resources by UCR to a foreign university or non-profit institution, or in any situation that will involve an agreement with a foreign government, whether or not a commitment of University Resources is involved. Examples of IE Agreements include, but are not limited to exchange visits of scholars, researchers and/or administrators of UCR and the foreign entity, exchange of academic or other research information and materials by the parties, or the organization of joint conferences and/or symposia.

Memorandum of Understanding

An MOU type of agreement may be used with a foreign entity provided the arrangement will not involve a commitment of University Resources and provided further that the arrangement is not with a foreign government. Deans are authorized to approve and sign proposed MOUs that comply with the approved MOU form of agreement. An approved MOU template may be accessed online. A copy of each signed MOU must be sent to the Office of the EVC & Provost following receipt of all appropriate signatures.

Agreement proposed by a foreign entity

Any form of exchange or linkage agreement proposed to a faculty member or academic official by a foreign entity, whether it entails a commitment of University Resources or not, should be forwarded to the Office of the EVC & Provost for its review to determine whether the proposal meets the criteria as an IE Agreement or an MOU. The Office of the EVC will advise the faculty member or academic official accordingly.

All documents will be in the English language or accompanied by a verified English language translation.

The following types of proposed agreements are *not* covered under this policy:

- A proposal for a research contract or grant submitted jointly with a foreign entity to an agency for funding. For more information, contact the Office of Sponsored Programs Administration.

- A proposal for the purchase or sale of services or products. For more information, contact Campus Purchasing.
- A proposal to affiliate with an educational institution, governmental agency, hospital or similar organization to provide for the training of enrolled students in furtherance of the UCR mission. For further information, contact the Office of the EVC & Provost.

B. Initiating a Proposal for an IE Agreement

Faculty members seeking to enter into an IE Agreement may initiate the process by submitting a proposal to be reviewed and approved (signature required) by the appropriate Dean. The proposal must be submitted to the Office of the EVC using the online form.

The proposal must include the following information:

- Identification of the campus unit that will be responsible for administering and implementing the IE Agreement;
- Assurance of consultation with the appropriate Dean;
- Description of the activity to take place under the proposed IE Agreement;
- Identification of University Resources to be utilized; and
- Description of any other University commitments required.

C. Required Approvals

Once a proposal for an IE Agreement has been endorsed by the appropriate Dean, the proposal will be reviewed by the Office of the EVC & Provost and the appropriate campus units. Sufficient lead time should be included in the request process to allow for adequate review by the appropriate campus units. While a proposed IE Agreement is under review, departments or units may not make any informal or formal, oral or written commitment of University Resources or other form of agreement with the foreign university, non-profit institution or entity. The IE Agreement will receive final review by Campus Counsel.

The final approved documents will be executed in duplicate by the EVC & Provost, and one executed original document will be sent to the foreign entity, and the other executed original document will be retained by the Office of the EVC & Provost.

The additional signature of the Executive Vice Chancellor & Provost or the Chancellor may be required for specific IE Agreements. The approving signature requirements are applicable both to the IE Agreement and to any subsequent protocols to such an IE Agreement. Regents' approval will be required for agreements involving any

contractually binding commitment to expend Regents' funds in support of an academic program, or commitments to programs not previously approved (reference Regents' Standing Order 100.4(dd)(5)).

No University Resources shall be committed in support of any IE Agreement until the IE Agreement has been authorized by the signature of the Executive Vice Chancellor & Provost or the Chancellor.

D. Duration of IE Agreements

The duration of the term of an IE Agreement and its related protocols will be limited to not more than five years. Prior to the end of the term of the Agreement, upon request of the responsible department or unit, the IE Agreement or protocol will be reviewed for reauthorization by the EVC & Provost or Chancellor, as appropriate. Requests for such reauthorization should be made well in advance of the expiration of the term of the agreement.

E. Responsibilities

All IE Agreement proposals shall be prepared and, if approved, IE Agreements shall be administered by appropriate units including schools, departments, colleges, and other campus programs. The Offices of the EVC & Provost will not assume responsibility for the administration or implementation of IE Agreements, nor will those offices be responsible for the allocation of any resources in support of IE Agreements.

The Office of the EVC & Provost will be the Office of Record for all IE Agreements and MOUs.

Executed agreements will be listed on the UCR International Agreements web-site.

Faculty Members are responsible for:

Preparing an IE Agreement proposal, confirming any commitment of University Resources with the appropriate departmental administrators, and submitting the proposal to the respective Dean for consideration and approval. Once an approved IE Agreement has been executed, the sponsoring faculty member shall be responsible for administering the IE Agreement in accordance with its terms.

Faculty members should consult with and gain approval from their Department Chair (in colleges with departments) before submitting a proposal to their respective Dean.

Every two years, on February 1st, the UCR faculty contact will provide the EVC & Provost with a brief report summarizing the activity for the previous two years and plans for the next two years.

Deans are responsible for:

Reviewing all IE Agreement proposals to ensure that they meet the scholarly goals and standards associated with their programs and, as deemed appropriate, confirming the review of and the concurrence in the proposal by the relevant Department Chair (in colleges with departments). The following questions will be considered:

- Are University Resources being committed?
- Is research to be conducted at the foreign university or non-profit institution?
- Is the foreign institution one with which UCR would want to engage in scholarly cooperation?
- Will there be visiting scientists conducting research at UCR?
- Does grant or contract funding support any research to be conducted as part of the IE Agreement?
- Would a cooperative program be beneficial to both universities?

Once these and related questions have been satisfactorily addressed, the appropriate Dean may sign and approve the IE Agreement proposal and submit it and their recommendation to the Office of the EVC & Provost.

If a decision is made to submit an MOU on the approved MOU template, the Dean may sign that MOU and forward a finished, signed copy to the Office of the EVC & Provost for inclusion on the International Agreements web site.

The EVC and Provost is responsible for:

- Reviewing all proposals for IE Agreements and approving or disapproving same in accordance with relevant University and campus policies, ensuring that other University officials are consulted in the process as appropriate;
- Facilitating and maintaining all written IE Agreements, ensuring that all such agreements are stored electronically and made available to authorized University personnel via the International Agreements Web site; and
- Upon request of the responsible department or unit, initiating a review of previously approved IE Agreements at the conclusion of the term of the IE Agreements, generally at the end of the fourth year.

IV. PROCEDURES

The following procedures describe how to initiate a proposal for an IE Agreement and the required review and approval process for a proposal to become an executed IE Agreement.

RESPONSIBILITY	ACTION
Faculty Member	Prepares information for a proposed IE Agreement and submits to his or her Dean.
Dean	<p>As deemed appropriate, confers with relevant Department Chair concerning the proposal and any commitment of departmental resources.</p> <p>If there is no planned use of University licensed or copyrighted materials, indicates such on the proposal, signs and forwards it to the EVC & Provost.</p> <p>If there is planned use of University licensed or copyrighted materials or resources, signs proposed IE Agreement request and forwards to the University Librarian.</p>
University Librarian	<p>If there is planned use of University licensed or copyrighted materials or resources, reviews proposed IE Agreements for use of UCR Library personnel, resources, funding, computerized records and use of licensed or copyrighted materials held by the UCR Library.</p> <p>If the proposed use is consonant with the library holdings, signs and forwards proposed IE Agreement or protocol to the Office of the EVC & Provost.</p>
EVC & Provost	<p>If new University Resources would be required for an IE Agreement or protocol, consult with other campus officials as appropriate. Determine whether Regents' approval is required.</p> <p>If it is determined that no Regental approval is required, approve or disapprove the proposed IE Agreement.</p> <p>With those specific IE Agreements that require authorization by the Chancellor's Office, consult with and obtain the additional signature of the Chancellor. Such IE Agreements and any subsequent protocols will be formally executed when signed by the EVC & Provost or Chancellor.</p> <p>Distribute executed IE Agreement to appropriate parties on campus responsible for administering it. The original copy of the signed IE Agreement shall be retained by the EVC & Provost.</p>
Chancellor's Office	Returns signed original copy of IE Agreement that has been forwarded to the Chancellor.

Issuing Officer

Ellen Wartella
Executive Vice Chancellor & Provost

Date

UC dashboard of strategic indicators. Outline – brief description

May 28, 2008—rev #7a

*Chairs & Directors'
meeting -
Circulation*

I. The Dashboard

The dashboard will provide trend data illuminating campuses' progress meeting key strategic objectives as identified by the Regents Committee on Long Range Planning. It will be published annually and used:

- to assess the progress meeting the Board's goals;
- inform continued long-range and financial planning,
- improve accountability of the University to the Regents and the people of California

The dashboard will be modeled closely after that used created by the Texas system. Thus, it will be presented in three sections (see below), use standard measures, and provide brief bulleted text to illuminate for each measure key trends and issues.

Section 1. Executive summary – introducing the dashboard, its purpose, and highlighting key trends and issues

Section 2. Systemwide measures – longitudinal data documenting campus and overall systemwide performance in achieving the Regents' long-range goals

- will use standard measures
- present data for each campus in graphs and tables that are easily read
- identify in bulleted text, key trends and issues

Section 3. Campus profiles. Each campus will supply a brief statement of its strategic aims/goals, followed by data that demonstrate their progress in achieving them. Campuses will be free in this section to choose the measures that best illustrate their progress, and also to provide bulleted text for each measure, indicating key trends and issues.

II. Background and rationale

- natural outgrowth of the systemwide academic and Regents' long range planning processes through which the University has developed an open and transparent budget process that routinely involves campus input and takes account of campuses' distinctive strategic and budgetary priorities.
- enables campuses to demonstrate their distinctiveness – itself the source of the University's greatest strength and best contribution to the State.
- supports the University's efforts to be more open and accountable with the State, and to re-build trust and strengthen its relationship with the people of California.
- responds to state and national pressures for greater accountability in higher education as articulated by the California Postsecondary Education Accountability Act of 2007 (SB325, pending); Secretary of Education Spellings' Commission on the Future of Higher Education; the 2008 Higher Education Reauthorization Act (currently in conference committee); and by the Voluntary System of Accountability (VSA) adopted Nov. 2007 by the National Association of State Universities and Land Colleges and the American Association of State Colleges and Universities.

III. Part I. Systemwide measures for first draft of dashboard, available 6/15/08

Tracking with goals and strategies being considered by the Regents Committee on Long Range Planning' "Draft Statement of the University Planning Priorities" (1/13/08). Fuller version, tracking additional strategies to be available 9/08.

1. Applications, Admissions and Enrollments -- Undergraduate

- 1.1. Number of new freshmen applicants, admits and enrolled, by campus, Fall 1994-Fall 2007
- 1.2. Number of new transfer applicants, admits and enrolled, by campus, Fall 1994-Fall 2007
- 1.3. SAT scores of entering freshmen, by campus, Fall 1997-Fall 2007:
- 1.4. High School GPA of entering freshmen by campus, Fall 1999-Fall 2007
- 1.5. GPA of entering transfer students, by campus, Fall 1994-2007

2. Undergraduate Student Profile:

- 2.1. Total undergraduate enrollment, by campus, Fall 2000 to Fall 2007
- 2.2. Undergraduate enrollment by full- and part-time status, by campus, Fall 2007
- 2.3 Undergraduate enrollment by campus by gender, Fall 2000 to Fall 2007, by campus:
- 2.4 Undergraduate enrollment by ethnicity by campus, Fall 2000 to Fall 2007:
- 2.5 Geographic distribution of UG students, Fall 2007:
- 2.6 Average age of UG students, by campus, Fall 2007:
- 2.7 Percent of UG students over 25, by campus, Fall 2007:
- 2.8 Percent of first-generation students, by campus, Fall 2007:
- 2.9 Percent of undergraduates for whom English is not the first-language spoken at home, by campus, Fall 2007

2. Graduate Student Profile:

- 3.1 Total undergraduate, academic graduate, and professional enrollment, by campus, Fall 2000 to Fall 2007

- 3.2. Academic graduate and professional enrollment by full-, part-time status, by campus, Fall 2007
- 3.3 Academic graduate and professional enrollment by gender, by campus, Fall 2000 to Fall 2007
- 3.4 Academic graduate and professional enrollment by ethnicity, by campus, Fall 2000 to Fall 2007
- 3.5 Geographic distribution of first-year academic graduate and professional students, Fall 2007:
- 3.6 Number of graduate degrees by degree type (masters, first professional, doctorate) by campus, Fall 2000 to Fall 2007:
- 3.7 Employment plans – First-year after Ph.D., 2006:
- 3.8 Per capita net stipend of UC doctoral students by campus, 1998-99 and 2006-07

3. Student Success -- Undergraduate

- 4.1 Undergraduate time-to-degree, by campus, entering freshman, Fall 1997 to Fall 2001:
- 4.2 Undergraduate time-to-degree, by campus, upper division CA community college transfers, Fall 1997 thru Fall 2001:
- 4.3 Four-, Five- and Six Year Graduation Rates for entering freshmen, by campus, Fall 1997 to Fall 2001:
- 4.4 Two-, Three- and Four Year Graduation Rates for CCC transfers, by campus, Fall 1997 to Fall 2003:
- 4.5 Freshman to sophomore retention for new freshmen and CCC transfers, by campus, Fall 1997 to Fall 2006:
- 4.6 Number of undergraduate degrees, by campus, Fall 2000 to Fall 2007:
- 4.7 Areas of study with the largest number of UG degrees awarded, by campus, 2006-07:
- 4.8 Highest degree aspirations of graduating seniors, by campus, 2006:
- 4.9 Post-graduation plans of graduating seniors, by campus, 2006:

4. Student Experience

- 5.1 Actual v budgeted SFR, by campus and systemwide averages, 1997-2007:

Items 5.2 thru 5.7—Student satisfaction, by campus, UCUES, Spring 2006 survey5.2 Group Learning Experiences—Percent of seniors who:

- worked outside of class on class projects or studied with classmates;
- spent at least 6 hours pr week participating in student organizations or clubs;
- reported serving as an officer or leader in a campus organization or club;
- helped a classmate better understand course material.

5.3 Active Learning Experiences—Percent of seniors who:

- reported making class presentations;
- spent at least 6 hours per week studying and other academic activities outside of class;
- enrolled in at least one independent research project [not on VSA template];
- participated in a study abroad program;
- participated in an internship;
- assisted faculty with research.

5.4 Institutional Commitment to Student Learning and Success—Percent of seniors who:

- were at least somewhat satisfied with advising by faculty on academic matters;
- were at least somewhat satisfied with advising by college staff on academic matters;
- were at least somewhat satisfied with the availability of courses needed for graduation;
- reporting raising their standards for acceptable effort due to the high standards of a faculty member.

5.5 Student Satisfaction – Percent of seniors who:

- were at least somewhat satisfied with the value of their education for the price they paid;
- were at least somewhat satisfied with their overall academic experience;
- would choose to attend this institution again;
- reported that their campus had a strong commitment to undergraduate education.

5.6 Experiences with Diverse Groups of People and Ideas—Percent of seniors who:

- rated their ability to appreciate, tolerate or understand racial and ethnic diversity as good or better;
- rated their ability to appreciate cultural and global diversity as good or better;
- gained a deeper understanding of other perspectives through conversations with students of a different nationality;
- gained a deeper understanding of other perspectives through conversations with students of a different race or ethnicity;

5.7 Student Interaction with Campus Faculty and Staff—Percent of seniors who:

- sought academic help from an instructor or tutor;
- talked with an instructor outside of class about course material;
- worked with a faculty member on a campus activity other than coursework.

5. Affordability -- Undergraduate

6.1 Total on-campus costs by category (fee vs. non-fee) over time, systemwide and by campus, trend data over time:

6.2 Net cost of attendance by income, systemwide and by campus, trend data over time:

6.3 UG income distribution, systemwide and by campus, trend data over time:

6.4 Cumulative indebtedness of graduating seniors at time of graduation, systemwide and by campus, trend data over time:

6.5 Percent of undergraduates borrowing, systemwide and by campus, trend data over time:

6.6 Pell grant enrollment, by campus and systemwide, most recent year:

6.7 Student work hours by income, by campus and systemwide:

6. Student Proficiencies -- Undergraduate:

7.1 Self-reported gains in *Analytic and Critical Thinking Skills*, by campus and systemwide, UCUES Spring 2006 survey:

7.2 Self-reported gains in *Ability to Write Clearly and Effectively*, by campus and systemwide, UCUES Spring 2006 survey:

7.3 Self-reported gains in *Understanding a Specific Field of Study*, by campus and systemwide, UCUES Spring 2006 survey:

7. Campus Rankings

8.1 U.S. News and World Report America's Best Colleges rankings, by campus, 1999-2008

8.2 U.S. News and World Report America's graduate rankings -- engineering, business, law, medicine, education, by campus, 2000-2009

8.3 NRC rankings of UC graduate programs, 1995

8.4 Washington Monthly rankings, 2005-2007

8. Faculty quality/success

- 9.1 Number of full-time ladder-rank faculty by campus, 1993-2007:
- 9.2 Number and percent of full-time ladder-rank faculty by gender, by campus, 1993-2007:
- 9.3 Number and percent of full-time ladder-rank faculty by URM status, by campus, 1993-2007:
- 9.4 Faculty honors and awards, systemwide, 2006-07:

9. Research

- 10.1 UC R&D expenditures, systemwide and by campus, dates TBD
- 10.2 Number of patents and inventions, by campus, 1998-99 thru 2006-07
- 10.3 Licensing income, by campus, 1998-99 thru 2006-07

Centrally
provided

10. Next Steps—Additional indicators TBD; data available summer 2008:

a) Graduate Students:

- Additional indicators TBD

b) Faculty:

- Additional indicators TBD

c) Research:

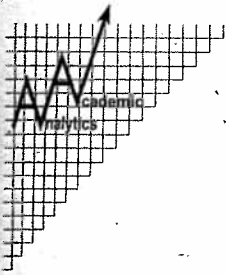
- Sources of research funding, by campus, 2006-07 (available summer 2008)
- Federal research funding, by agency, by campus, 2006-07 (available summer 2008)
- Other indicators of research funding, e.g., awards and expenditures by discipline, number of graduate programs, etc. TBD

d) Public Service

- K14 Programs and Services (e.g., Student Academic Preparation and Educational Partnerships)
- Library and Museum Holdings, systemwide, 2008

*Attachment: Planning a Systemwide
Accountability Framework Discussion*

- Agriculture and Natural Resources – ANR accountability database is currently under development; data will be available Summer 2008
 - University Extension Programs, campus and systemwide, 2006-07
 - Continuing Education of the Bar (CEB)
 - Continuing Medical Education
- e) **Hospitals** – Indicators TBD; much data is currently available.
- f) **Budget** – Indicators to be defined by EVP Katie Lapp.
- g) **Development** -- Indicators to be defined by EVP Katie Lapp.



*Top page and
 Chairs & Directors
 meeting*

University of California - Riverside FSP Index 2006-07 Internal Program Comparisons

