

Office of Research

RRIC Appendix VII: Master Recommendations list from all five reports

Updated 4/22/2014

Internal recom- mendation #	Recommendation	Rec number from source with page #	Rec source	Unit that is point on rec	Lead person	OR Unit(s)	Action on the recommendation	Status (red = OR; green = other than OR)
1	Sustain a culture of research excellence	I, pg. 10	BRC-R					
1	Emphasize strategic hiring of excellent faculty members who are the "best" for the university as a whole, in addition to enhancing the excellence of the individual unit.	I.1., pg. 10	BRC-R	Deans, Academic Personnel	Deans			
2	Endorse the "Target of Excellence" approach to hiring (a small number of) senior faculty who will be expected to lead campus research strategic initiatives.	I.2., pg. 10	BRC-R	Chancellor, Provost, Deans	Chancellor			
3	Expect senior faculty to mentor younger faculty , to develop and retain a generation of mid-career leaders. Unit-specific programs should be developed that teach senior faculty how to mentor more effectively, matching senior and junior faculty, across different programs where appropriate.	I.3., pg. 10	BRC-R	Deans, department chairs, Academic Personnel	Deans			
4	Research staff at all levels should have opportunities for additional training (career ladders) and be empowered to work to the full scope of their training.	I.4., pg. 10	BRC-R	VCR, department chairs	VCR	Research Admin, OVCR	The Sponsored Programs Office has developed a structure that allows for career ladder progression for staff. In FY 2012-13, OR provided one-time funds for professional development to all offices and during the new budget model process are attempting to identify on-going professional development. A SPO Training Officer was hired in July 2010. Also, a 2012 climate survey was completed in all offices to address staff and management concerns.	Completed and on-going
5	Within each discipline, highlight success in research and scholarship , including impact, productivity and track record of extramural funding, with grant acquisition and management being a prominent factor in merits and promotions.	I.5., pg. 10	BRC-R	Academic Personnel, VC-D&AR, VCR, Academic Senate	VC-D&AR	Research Admin	The Office of Research is now releasing annual reports with high level summaries of sponsored funding by college units. OR is building reports and dashboards that will be made available after the KC grants management system rollout. Additionally, grant and contract funding at an individual faculty/PI level is currently a data element in My InfoVault used for promotion and tenure reviews. A Marketing/Communications position has been resourced and is under recruitment. Will be releasing a monthly newsletter after this Director is in place called "Research Matters" that will include data elements mentioned in this item	In progress
6	Hire research administrators with a demonstrated history of research excellence and a clear commitment to support faculty success; require a completely open search and provide appropriate resource packages.	I.6., pg. 10	BRC-R	VCR	VCR	OVCR	All recruitments have been open and conducted under all HR rules to find the best people for the positions available.	Completed and on-going
7	Remove any stigma associated with self or unit-specific success and visibility; indeed, celebrate people's accomplishments.	I.7., pg. 10	BRC-R	Deans	Deans		Weekly internal newsletter to entire OR organization highlighting --Research unit, central faculty successes --Faculty achievements --Team/individual staff accomplishments Recognition Programs --Established On-the Spot Award Program --Build employee recognition into other ongoing events	

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8	Redesign the Office of Research to support the new culture (see also IX. [#86 - #96] below) and ensure that this support is considered by the Chancellor and Provost to evaluate the Office of Research and the Vice Chancellor for Research.	I.8., pg. 10	BRC-R	VCR	VCR	OVCR	Reorganized OR into three areas of emphasis: Research Administration (SPO, RCI, IRB); Technology Management & Corporate Relations (IA; OCR); and Interdisciplinary Research and Strategic Initiatives (IRS). All three Associate Vice Chancellors have been recruited to lead these three areas of emphasis.	Completed
9	Move the Office of Research to the central Davis campus to emphasize its significant role in campus life.	I.9., pg. 10	BRC-R	VC-ARM, VCR	VC-ARM	OVCR	A space needs survey of the Office of Research has been conducted. OR is awaiting results of a Mrak Hall space study. The IRB office is already located within the School of Medicine in Sacramento	Completed and on-going
10	Provide appropriate training to allow administrators to perform well including designing processes that reduce redundancy (e.g., multiple signatures required for approval).	I.10., pg. 10	BRC-R	VCR	VCR	Research Admin, OVCR, IA, IRB, IRS, OCR, RCI, SPO	SPO: Mandatory service training implemented to reinforce support role of SPO in proving service to research community. SPO training officer (joined in July 2010) was tasked to initiate such targeted training. To date, various training modules have been developed, and placed on the web. Numerous hands-on classes, as well as web-based training have been developed, and already on the web. Examples are budget development training modules, which also include an in-person, hands-on lab. IRB: Streamlined, improved reliability of, and reduced work effort on academic units regarding billing for IRB review. RCI: EAVC approved training opportunities for RCI Staff. IRS: Have begun discussions regarding the type of trainings that we could provide	Completed and on-going
11	Improve researchers' ability to enter into partnerships with industry, foundations, and international organizations (see also VIII [#63 - #65]).	I.11., pg. 10	BRC-R	VCR	VCR	OCR, IA	Hired new AVC to better affiliate OCR with IA. Approved 6 add'l staff for Venture Catalyst unit. Recruitments underway. An international agreement specialist will be added to EAVC negotiation team in 2014 for complex international centers, programs and sponsored agreements. See Huron IA report [#236 - #257]	Completed and on-going
12	Align UC Davis expertise with societal needs/opportunities	II, pg. 10	BRC-R					
12	Develop a system/program for continuous identification of groups of faculty and administrators that align campus expertise with societal needs and current or upcoming funding priorities. Develop a plan for launching such efforts that includes annual reevaluation.	II.1., pg. 10	BRC-R	Chancellor, Provost, Deans	Deans		see Huron project #3, Review of the Technology Transfer function and assessment of effectiveness of changes	

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13	Identify groups of faculty and administrators who are charged with developing a strategic plan (vision, strategies and implementation), a framework for faculty growth (including potential Target of Excellence recruitments), and a list of key infrastructure enhancements to increase research excellence. These groups would regularly report to the Chancellor/Provost, and the process should periodically be refreshed. Such groups should prepare white papers in specific areas that can easily and rapidly be transferred into funding proposals.	II.2., pg. 10	BRC-R	Chancellor & Provost with input from Deans and Academic Senate	Chancellor			
14	Include in the position description for the Vice Chancellor for Research an expectation that he or she will participate actively in setting the national agenda for research , including identifying faculty representatives in specific areas of expertise and communicating research agendas to the faculty.	II.3., pg. 10	BRC-R	Chancellor, Provost	Chancellor			Completed
15	Encourage faculty and administrators to organize topical sessions in UC Davis's areas of competitive strength at national and international meetings and to bring such meetings to campus .	II.4., pg. 11	BRC-R	Chancellor, Provost, Deans, department chairs				
16	Host national and international meetings on campus in areas of identified research strength and priority.	II.5., pg. 11	BRC-R	Chancellor, Provost, VCR, Deans, department chairs		OVCR, Research Admin, OCR	These types of scientific conferences are best initiated "bottom up," i.e., from the faculty researchers themselves. The role of OR regarding such conferences might be in publicizing the events or providing seed funding for researchers to initiate such meetings.	Completed and on-going
17	Incentivize research and researcher excellence	III, pg. 11	BRC-R					
17	Indirect Costs:	III, pg. 11	BRC-R					
17	Develop a transparent, simplified, and fair approach to indirect cost recovery distribution that is communicated to all constituents. Designing an improved and transparently equitable system for ICR is beyond the purview of this committee. But we believe strongly that ICR funds should be used for research endeavors, not to bolster or support the general fund. It is critical that prior to any change in allocation processes, a thorough cost/benefit analysis is conducted so that everyone understands the effects of the proposed process on the campus's financial viability.	III.1., pg. 11	BRC-R	Chancellor, Provost, VCR, VC-ARM	Provost	OVCR, Research Admin	The Office of the Provost, in consultation with the OVCR has developed a new budget model that retains some of the ICR centrally for institutional infrastructure, start up packages and equipment cost sharing but pushes more of the ICR received from UCOP and institutional shares out to the colleges where the ICR was generated. Deans will have strategic ability to utilize the funds to support the research mission of faculty and their departments.	Completed
18	Reexamine/negotiate indirect cost recovery distribution at the federal, UC Office of the President and campus levels, with the goal of returning more indirect cost dollars to investigators (we recommend 10%) and to the units (we recommend an additional 10%).	III.2., pg. 11	BRC-R	Chancellor, Provost, VCR, VC-ARM	Provost	OVCR, Research Admin	See #17 above	Completed

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19	Use indirect cost recovery to first cover research-related expenses and primarily to support the programs that generate the ICR funds, rather than subsidizing programs that are capable of but fail to generate indirect cost recovery.	III.3., pg. 11	BRC-R	Chancellor, Provost, VCR, VC- ARM	Provost	OVCR, Research Admin	See #17 above	Completed
20	Matching and Bridge Funds:	III, pg. 11	BRC-R					
20	Institute policies on campus that support research infrastructure and cover departmental expenses associated with acquiring research funding that will in turn generate new ICR for the university.	III.4., pg. 11	BRC-R	Chancellor, Provost, VCR, VC- ARM	Provost	OVCR, Research Admin	A Core Facilities Recommendations Committee was formed to look at recharge and other Core services and facilities and how they are resourced. Committee report was completed February 2014. From item #17 (completed): The Office of the Provost, in consultation with the OVCR has developed a new budget model that retains some of the ICR centrally for institutional infrastructure, start up packages and equipment cost sharing but pushes more of the ICR received from UCOP and institutional shares out to the colleges where the ICR was generated. Deans will have strategic ability to utilize the funds to support the research mission of faculty and their departments.	Completed
21	Formalize and make transparent the methods used by the Office of Research and groups like the Administrative Coordinating Council of Deans (ACCD) to award matching funds (including obtaining formal consensus and agreement of involved deans).	III.5., pg. 11	BRC-R	VCR	VCR	Research Admin	When two or more colleges are involved in a project that requires matching funds, the proposal is brought to the ACCD for a decision on how the match will be provided. If less than two colleges, the OVCR, in consultation with the Dean(s) associated with the match request will determine level of cost share provided under a request. The OVCR has formed an OR committee to vet and approve all match requests for the OVCR and has mechanisms to track and report on amount of current and pending match commitments	Completed
21						Research Admin	Related to #21 & #312. Audited accounting practices of OVCR to improve overall accountability and effectiveness of fund stewardship. Worked with Internal Audit to identify weaknesses and areas for improvement.	Completed
21						Research Admin	Related to #21 & #357. Prepared historical multi-year review of campus research support funds (Match, Bridge, Strategic Investment) analyzing changes in fund balances; types and size of commitments made; and trends in funding requests received.	Completed
21						Research Admin	Related to #21. Created database to track use of campus research support funds (Match Funds, Bridge Funds, Strategic Investment Funds, Catastrophic Equipment Failure), manage commitments against the funds, retain historical data, and improve reporting and analysis. Phase 2 planning underway.	Completed
22	In order to facilitate deans' willingness to commit matching funds, formulate a mechanism by which indirect cost recovery dollars (incremental) can be used to help pay for matches if the success rate is unexpectedly high.	III.6., pg. 11	BRC-R	Chancellor, Provost, VCR, VC- ARM, Deans	VC-ARM	OVCR, Research Admin	See #17 above. Have reviewed and improved the current OR ICR annual allocation process, working with academic departments and dean's offices on outstanding issues of concern. Currently developing new ACCD policies around institutional matches.	Completed and on-going

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23	Prioritize bridge funding as an important use of indirect cost recovery and increase the maximum award to \$100,000 for those who have previously generated ICR in this amount or higher.	III.7., pg. 11	BRC-R	VCR	VCR	OVCR, Research Admin	In response to sequestration and other impacts to grant funding, OR is planning to temporarily increase bridge funding to \$100K (OR: 60%/dean: 40%) and allow a PI to receive more than one bridge grant during his/her career at UC Davis.	Completed
24	Establish a review committee to prioritize bridge funding requests on the basis of chances for future funding (the committee did not reach consensus on whether this group should be managed by faculty members or the Office of Research).	III.8., pg. 11	BRC-R	VCR	VCR	Research Admin	See response to #23: In response to sequestration and other impacts to grant funding, OR is planning to temporarily increase bridge funding to \$100K (OR: 60%/dean: 40%) and allow a PI to receive more than one bridge grant during his/her career at UC Davis.	Completed
25	Formally assess and publicly report proposal outcomes for faculty receiving bridge funding and require faculty reports on success from those who receive bridge funding.	III.9., pg. 11	BRC-R	VCR, Deans	VCR	Research Admin	See response to #23: In response to sequestration and other impacts to grant funding, OR is planning to temporarily increase bridge funding to \$100K (OR: 60%/dean: 40%) and allow a PI to receive more than one bridge grant during his/her career at UC Davis.	Completed
26	For investigators who receive bridge funding, allocate a portion of subsequent investigator-assigned ICR (see III. 1 above) to the bridge fund program to pay it back . Faculty members who have repaid ICR in an equivalent amount should be eligible for future bridge funding.	III.10., pg. 11	BRC-R	Chancellor, Provost, VCR, VC- ARM, Deans	Provost	OVCR, Research Admin	This is a matter for the Provost's budget office as under new budget model OR will not have significant control over ICR distribution.	Delegated to Budget Office/ Provost determination
27	Faculty Workload Policies: Deans, department chairs, and faculty should work together to create a unit-specific transparent policy that appropriately allocates workload (teaching vs. research vs. service). This policy should ensure lower teaching/service loads as research productivity increases (funding, awards, unit-specific impact) and vice versa, probably via mechanisms such as "trade-out" or "buy-out" systems. The goal should be equal work loads, not equal numbers of particular kinds of tasks.	III.11., pg. 12	BRC-R	Deans, department chairs, faculty	Deans			
28	Include the effectiveness/fairness of this policy in the Chancellor or Provost's performance evaluations of deans .	III.12., pg. 12	BRC-R	Chancellor, Provost	Provost			
29	The Provost should charge the Office of Graduate Studies to create a plan that sets graduate group teaching load expectations (e.g., in proportion to graduate student numbers, FTE allocations, etc.) and provides mechanisms for "trade-out" or "buyout" between Schools, or to recommend a suitable alternative. The committee supports the graduate group structure and recognizes the need to provide adequate resources for their continuation.	III.13., pg. 12	BRC-R	Provost, Dean--Grad Studies	Provost			
30	Merits and Promotions (see also I.5 [#5], IV.4 [#37]):	III, pg. 11	BRC-R					

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30	In order to reduce bureaucratic workload, emphasize formal review of promotions over merits . Accelerate the current efforts to streamline the merit and promotion process while maintaining Academic Senate control of the process. Some members thought routine merits could be reviewed by the chair and college committee and not require faculty review (unless requested by the candidate for a merit), but accelerated merits, promotions, and appeals would be subject to the full, current process. Others felt this could be accomplished by not requiring the college personnel committees to reiterate what the department letter says, which is then followed by an Associate Dean writing the same thing again. The goal should be to avoid redundant and unnecessary cribbing and rewriting.	III.14., pg. 12	BRC-R	Chancellor, Provost, VP- Academic Personnel, Academic Senate	VP-AP			
31	Merit/promotion applications should be shorter and use electronic review modalities when possible; fewer letters should be solicited for routine merits; approvals should require only a few sentences. (See also IX. below.)	III.15., pg. 12	BRC-R	Chancellor, Provost, VP- Academic Personnel, Academic Senate	VP-AP			
32	In the merit and promotion process, incentivize and recognize research done in conjunction with community partners and research having a positive impact on the region and state.	III.16., pg. 12	BRC-R	Chancellor, Provost, VP- Academic Personnel, Academic Senate	VP-AP			
33	Build on disciplinary excellence to enhance interdisciplinary collaboration. Research success will require both continued disciplinary excellence and support of our current strengths in interdisciplinary collaboration. Disciplinary excellence is the foundation of successful interdisciplinary research. UC Davis has a tradition of successful centers and Organized Research Units (ORUs) that should be celebrated and supported. Improved administrative policies should facilitate, not hinder, expansion of these collaborative programs, a distinctive feature of the UC Davis research vision.	IV, pg. 12	BRC-R	Chancellor, Provost, VCR	VCR	OVCR, IRSI	OR reorganized to create an area of emphasis in Interdisciplinary Research and Strategic Initiatives (IR&SI). Resources have been dedicated to IR&SI to enhance interdisciplinary collaboration. An example is the Interdisciplinary Frontiers Program (RISE & IFHA, which resulted in 20 funded interdisciplinary research clusters - \$14.5M in funding). More discussions need to occur relative to sustainable budget model for ORUs in the future relative to projects supported by ORUs with funds held by academic departments	Completed and on-going
34	Office of Research should periodically convene groups of faculty (including centers, ORU directors, program graduate and graduate group chairs) across schools and colleges to proactively identify interdisciplinary teams , especially in the areas of strategic focus identified in I.1-2 and II. above.	IV.1., pg. 12	BRC-R	VCR	VCR	IRSI	RISE/IFHA programs launched; monthly meeting with Research Unit Directors established; quarterly meetings with RISE and IFHA established; annual OR Open House and Annual RISE/IFHA Research Symposia established; seed funding programs in a number of thematic areas under development	Completed and on-going

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35	Database systems such as Collexis, which provides data on faculty expertise, should be used to foster connectivity and to support faculty seeking interdisciplinary colleagues and research opportunities.	IV.2., pg. 12	BRC-R	VCR, VC-D&AR	VCR	IRSI	OR is now using PIVOT to identify faculty collaborators.	Completed
36	The Vice Provost, the Committee on Academic Personnel and faculty personnel committees should ensure that all departments and schools provide credit in merit and promotion processes for interdisciplinary creative activities , including multi-author papers and non-traditional creative products. In addition, merit and promotion evaluations in "non-primary" departments, especially when they are without compensation, should be significantly streamlined.	IV.3., pg. 12	BRC-R	Chancellor, Provost, VP-Academic Personnel, Academic Senate	VP-AP			
37	Provide incentives (e.g., time, funding, and recognition) for faculty who participate in interdisciplinary research . Special attention should be given to this issue in the humanities and social sciences where single-author publications and independent graduate student research are frequently normative.	IV.4., pg. 12	BRC-R	Chancellor, Provost, VCR, Deans, department chairs	VCR	OVCR	The Interdisciplinary Frontiers Program (see #33) includes the IFHA program to be designed by arts and humanities faculty and leadership to foster interdisciplinary work in the social sciences and humanities. 30 proposals received. 7 funded w/ \$3.6M.	Completed and on-going
38	Each center and Organized Research Unit director should present an annual strategic plan and budget to his or her oversight committee.	IV.5., pg. 13	BRC-R	VCR, Deans	VCR	IRSI	OR completed a new annual report template for ORUs delivered April 2012. The reports are reviewed by OR leadership with faculty senate inclusion to determine appropriate budgetary action for upcoming year. Report also includes scientific impacts and goals for the future.	Completed
39	Optimize the functioning of centers and Organized Research Units The campus has many centers, and some of these are formal Organized Research Units (ORUs). Different policies apply to the governance and financing of centers versus ORUs. For example, ORUs report to the Vice Chancellor for Research whereas centers report to the lead dean. In addition, policy requires unit ICR return to go directly to ORUs. Clarification of the strategies for determining which units are ORUs versus centers is recommended. For the purposes of this report, the recommendations are divided into recommendations that apply to both centers and ORUs (1-5) and ORU-specific recommendations (6-10).	V, pg. 13	BRC-R	Chancellor, Provost, Deans, VCR, VC-ARM	VCR	IRSI, OVCR	Now that the Core Facilities work has been completed, AVC Dodd recommends we commence the activity of reflecting on what is the best organisational structure for research centers at UC Davis. This is a huge job and overdue. Consultation with UCOP should take place as a first step.	In progress
40	Use centers/ORUs to highlight research areas of excellence (see II. above), provide one-stop shopping for potential funders, and serve as a basis for public relations initiatives to improve the visibility of UC Davis research (see XI. below).	V.1., pg. 13	BRC-R	VCR, Deans	VCR	IRSI	Marketing Director position is under recruitment in order to satisfy this recommendation. Have launched new website infrastructure, will use annual report template for marketing information of the ORUs and will release monthly "research matters" newsletter in the future. Highlights of ORUs as they pertain to the 2020 Vision will be published with OR annual report.	In progress

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41	Require centers/ORUs to publicize their activities to ensure that all campus faculty and students are able to take full advantage of the resources.	V.2., pg. 13	BRC-R	VCR, Deans, VC-D&AR	VCR	IRSI	ORUs participate in Annual Office of Research Open House Event. Additional support will become available when Communications/Marketing Director hire is completed (May 2014)	In progress
42	Improve transparency to the campus community of central funding support for each center and ORU.	V.3., pg. 13	BRC-R	VCR, Deans	VCR	IRSI	Information has been and will be provided in OR annual research report. Detailed financial information is included in 5-year ORU review, and scrutinized by Academic Senate Committee on Budget and Planning. OR-reporting Core Facilities budgets are reviewed annually at ACCD.	In progress
43	Employ appropriate assessments for centers that are predominantly service units, whose mission may not necessarily encompass or focus on acquisition of extramural support, such as some facilities that focus on supporting campus research.	V.4., pg. 13	BRC-R	VCR, Deans	VCR	IRSI	Peer review (including non-UC Davis faculty) review of Bodega Marine Lab, Crocker Nuclear Laboratory, McClellan Nuclear Research Center, Center for Healthcare Policy Research have already occurred. Reviews of 5 more centers are currently in planning stages. Currently no formal mechanism, template, process or policy exists to review service units. A UC Davis campus review process could be developed now that Core Facilities work is moving into implementation stage. - Decision needed if resources are available to do this now. Also, see #20 above regarding the Core Facilities Recommendations	In progress
44	The goal of ORUs and centers should be to move from their initial central funding support to acquisition of external funding. Some committee members recommended that the usual expectation be sunseting of central funding support (above ICR) after 3 years, with an extension only if there is strong evidence of applying for and successfully acquiring extramural support. Longer periods of central funding should be the exception rather than the norm (the goal would be to ensure that no single ORU receives large central funds from the Office of Research for more than 5 years, except in rare cases). Other members thought the sunseting should be for the start-up support; then after 3 years, successful ORUs would competitively apply for appropriate central maintenance support every 5 years. (similar to #231)	V.5., pg. 13	BRC-R	Chancellor, Provost, VCR, Deans	Provost	IRSI, OVCR	The stated goal is sound with the recognition that not all facilities have the same business model but yet provide a valuable service to faculty. Reviews are under way to determine cost and benefit of Centers, ORUs and Core Facilities to inform budgetary decisions in the future	In progress
45	Establish and periodically assess the proportion of centers and institutes that should be designated as ORUs, taking into account the ICR and evaluation implications.	V.6., pg. 13	BRC-R	Chancellor, Provost, VCR, Deans	VCR	IRSI, OVCR	See response to # 44 above	In progress
46	Establish clear goals, including academic impact, financial plans, and timelines for "sunset plans" for each ORU.	V.7., pg. 13	BRC-R	Chancellor, Provost, VCR, Deans	VCR	IRSI, OVCR	See response to #43 and #44	In progress
47	Separate the academic evaluation of ORUs from the assessment of whether to continue central funding support.	V.8., pg. 13	BRC-R	VCR, Deans	VCR	IRSI	This recommendation runs contrary to UC ORU Review Policy, so has not be adopted, but an alternative approach has been pursued. Central funding support is reviewed annually through a formal budget process	Implemented alternate strategy

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48	After an initial limited start-up phase, ORU budgets should not exceed that of direct costs + a portion of negotiated ICR + unit-specific funds approved by deans.	V.9., pg. 13	BRC-R	VCR, Deans	VCR	IRSI	This recommendation would need to be debated and potentially adopted as a system-wide policy change - the majority of ORU's do not receive financial support from the Deans.	Future
49	The academic evaluation of ORUs should be significantly streamlined , especially when limited central funding is being received. Ensure appropriate and streamlined evaluation methodologies for ORUs and ORU directors. All ORUs should have an advisory committee of faculty and appropriate senior administrators as current UC guidelines and policy require. This committee should advise, support, and coach the director, and advise the Vice Chancellor for Research if the ORU director's performance is sub-standard.	V.10., pg. 13	BRC-R	VCR	VCR	IRSI	ORU review process is set by systemwide policy. A 1.5 day review process every 5-years has been adopted to review ORU's which would be comparable to reviews of similar centers by other organizations. We intend to re-establish faculty advisory committees for every ORU that successfully completes a 5-year review with a recommendation to continue. <i>See response to #43 and #44.</i>	In progress
50	Encourage "large" grants, including infrastructure, core, center and training grants (see also III.1 and III.2 [#s 17 &	VI, pg. 14	BRC-R					
50	Incentivize faculty to prepare, submit and administer large grants by providing release time for the preparation and, if an application is successful, allocate 10% of ICR directly to the "working" principal investigator as unrestricted funds.	VI.1., pg. 14	BRC-R	VCR, Deans, department chairs	Deans	OVCR, Research Admin	Grant writer support for winning IFP grantees will be provided. <i>See response to #33: OR reorganized to create an area of emphasis in Interdisciplinary Research and Strategic Initiatives (IR&SI). Resources have been dedicated to IR&SI to enhance interdisciplinary collaboration. An example is the Interdisciplinary Frontiers Program (RISE & IFHA, which resulted in 20 funded interdisciplinary research clusters - \$14.5M in funding). More discussions need to occur relative to sustainable budget model for ORUs in the future relative to projects supported by ORUs with funds held by academic departments.</i>	In progress
51	Reduce teaching/service loads of faculty who are principal investigators of these grants (per the unit-specific workload policy; see III. above) in order to give them time to administer the grant.	VI.2., pg. 14	BRC-R	Deans, department chairs	Deans			
52	Optimize the use of Interdisciplinary Research Support services in the Office of Research. An Interdisciplinary Research Support administrator should be assigned to assist with the preparation of these grants (budgeting, collecting biosketches, creating resource descriptions, etc.).	VI.3., pg. 14	BRC-R	VCR, Deans, department chairs	VCR	OVCR, IRSI, IRS	2.5 FTE have been added to the IRS team to allow for more support of large-scale interdisciplinary research proposal preparation. With the reorganization of OR that established the Interdisciplinary Research and Strategic Initiatives area of emphasis, IRS staff has been made more free to devote to proposal development.	Completed
53	The Office of Research should right-size the Interdisciplinary Research Support unit in order to provide support to any investigator preparing a large programmatic grant or training grant. (similar to #88)	VI.4., pg. 14	BRC-R	VCR	VCR	OVCR, IRSI, IRS	IRS: Assessed right-sizing of unit; PhD-level editorial coordinator was recruited in late 2011.	Completed
54	Facilitate knowledge transfer The committee recognizes that a separate Blue Ribbon Committee has been charged to address technology transfer. These recommendations are provided in the spirit of synergizing the two reports.	VII, pg. 14	BRC-R					

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55	Expand the campus's concept of technology transfer to include "knowledge transfer."	VII.1., pg. 14	BRC-R	Chancellor, Provost, VCR, Deans, department chairs	VCR	IA	Can emphasize this point in marketing and communication materials and discussions. More concrete direction on this recommendation is necessary in order to be responsive. Close working relationship established with the Child Family Institute for Innovation and Entrepreneurship. AVC TMCR key personnel on successful U54 grant application along with Exec Dir of CFIE.	Completed and on-going
56	Recognize and reward knowledge transfer in merits and promotions.	VII.2., pg. 14	BRC-R	Chancellor, Provost, VP- Academic Personnel, Academic Senate	VP-AP			
57	Reorganize UC Davis's technology licensing organization, including expeditious evaluation of faculty-invented technologies to determine the ones for which the campus will pursue intellectual property rights.	VII.3., pg. 14	BRC-R	VCR	VCR	OVCR, IA	Additional resources as recommended by Huron have been added to the IA team. <i>see Huron IA report [#236 - #257].</i>	Completed
58	Increase entrepreneurship training of faculty, staff and students (e.g., through activities such as those sponsored by the Center for Entrepreneurship, and others).	VII.4., pg. 14	BRC-R	VCR	VCR	TMCR	OR currently collaborating with GSM on Innovation, Entrepreneurship & Technology Transfer at UC Davis. New Biomedical Entrepreneurship Academy launched and co-sponsored by OR.	Completed and on-going
59	Deepen partnerships with regional entrepreneurial and business organizations (from Silicon Valley to Sacramento and the greater Bay Area) such as SARTA, SACTO, and the Bay Area Council.	VII.5., pg. 14	BRC-R	VCR	VCR	OCR	<i>see Huron IA report [#236 - #257].</i>	Completed and on-going
60	Establish a joint faculty-administrator task force to explore the feasibility of establishing a physical facility (e.g., technology/innovation park) for faculty to pursue commercialization of their inventions.	VII.6., pg. 14	BRC-R	Chancellor, Provost	Chancellor		<i>see Huron project #3, Review of the Technology Transfer function and assessment of effectiveness of changes</i>	
61	Hire a Vice Chancellor for Research with expertise and passion for industry relations and technology transfer.	VII.7., pg. 14	BRC-R	Chancellor	Chancellor			Completed
62	Expand resources for research and researcher support (see also IX.17 [#104])	VIII, pg. 15	BRC-R					
62	As part of the assessment of the UC Davis library, determine how well it is meeting all researchers' needs.	VIII.1., pg. 15	BRC-R	Chancellor, Provost, Academic Senate	Chancellor			
63	Develop mechanisms that support research and research applications with high impact for faculty working in fields where staff support and resources are limited.	VIII.2., pg. 15	BRC-R	Chancellor, Provost, VCR, Deans, department chairs	Deans	OVCR	Resources have been added to SPO, IA and Strategic Initiatives teams. Under new budget model, additional ICR resources are returned to Deans in order to build infrastructure within schools and departments. If additional resources and training are necessary after assessing the impact of the new budget model, OR will work with Deans to identify areas of concern and potential personnel-share situation that might resolve this knowledge/ expertise gap.	Completed

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64	Facilities and Cores:	VIII, pg. 15	BRC-R					
64	Actively involve Facilities Administration representatives early in all major research planning discussions.	VIII.3., pg. 15	BRC-R	VCR	VCR	Research Admin, IRS, SPO	SPO provided training to SPO staff to detect involvement of Facilities Administration & coordinate with them when reviewing proposals and awards.	Completed
65	Create (with faculty involvement) and disseminate a facilities strategic plan that links academic planning with priorities for new facilities and renovations (including particular attention to common facilities such as major computational systems, instrumentation rooms, and performance areas).	VIII.4., pg. 15	BRC-R	Chancellor, Provost, VCR, Deans, VC-ARM, department chairs	VC-ARM	OVCN, Research Admin	Working with central research facilities to improve awareness and access to facility services using web application. Also, a facilities strategic plan is being developed by the campus-wide "Core Facilities Committee" and was released February 2014 for leadership consideration and implementation	Delegated to ARM/Provost for determination
66	Create a database of past facilities projects that includes a listing of responsible deans who can then be used (by facilities and other administrators, and faculty) as consultants for comparable projects.	VIII.5., pg. 15	BRC-R	VC-ARM	VC-ARM			
67	Create a campuswide research space-allocation model that ensures that space assignments are proportional to the space intensity required for the kind of research being performed and the number of staff supported by extramural funding; apply the model consistently and transparently.	VIII.6., pg. 15	BRC-R	VC-ARM	VC-ARM			
68	If VIII.4 is implemented and does not resolve space shortages, reconsider the campus ban on trailers and other temporary buildings , with the goal of providing immediate solutions to the serious research space shortages facing our faculty.	VIII.7., pg. 15	BRC-R	VC-ARM	VC-ARM			
69	Provide and disseminate transparent policies and procedures concerning new research space construction and renovations, including campus cost-sharing, fundraising for capital projects, expected cost-sharing of future operational expenses, etc.	VIII.8., pg. 15	BRC-R	VC-ARM	VC-ARM			
70	Allow employment of off-campus, competitively bid services for on-campus construction or, alternatively, cap campus costs to open market rates.	VIII.9., pg. 15	BRC-R	VC-ARM	VC-ARM			
71	Encourage deans to use their unit return of ICR funds (see III. above) for renovations , especially those that directly support the project that generated the ICR.	VIII.10., pg. 15	BRC-R	Chancellor, Provost, Deans	Provost			
72	Cyberinfrastructure:	VIII, pg. 15	BRC-R					
72	Invest adequately in information technology to ensure availability of competitive cyberinfrastructure; identify funding mechanisms to establish and sustain appropriate computing facilities (e.g., a data center).	VIII.11., pg. 15	BRC-R	Chancellor, Provost, VP- IET	VP-IET		see Huron project #5, <i>Strategic Plan for Campuswide Technology Plan for Research Administration</i>	
73	Ensure that all planned capital projects and programmatic expansions include identification of information technology needs (networks, power, cooling, etc).	VIII.12., pg. 15	BRC-R	VC-ARM, VP- IET	VP-IET		see Huron project #5, <i>Strategic Plan for Campuswide Technology Plan for Research Administration</i>	
74	Faculty Salaries:	VIII, pg. 15	BRC-R					

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74	To improve transparency and consistency across campus, determine if/how faculty salaries can be adjusted to recognize and reward exceptional success in extramural funding (including analysis of extra stipends paid from “salary savings” generated by extramural funding).	VIII.13., pg. 15	BRC-R	Chancellor, Provost, VP- Academic Personnel	VP-AP			
75	Reward all faculty members for scholarship and societal benefit within the norms of the field or discipline.	VIII.14., pg. 15	BRC-R	Chancellor, Provost, VP- Academic Personnel, Academic Senate	VP-AP			
76	Remove disincentives for grant success in disciplines where salary and/or teaching release is not typically fully covered by funding agencies (including enhancing resources for faculty research release time in appropriate divisions, especially in the humanities and social sciences).	VIII.15., pg. 15	BRC-R	Deans, department chairs	Deans			
77	Explore ways to allow retirement benefits to accrue on “supplemental” salary (e.g., summer salaries or /Z components of School of Medicine compensation).	VIII.16., pg. 16	BRC-R	VP- Academic Personnel	VP-AP			
78	Graduate Student Support:	VIII, pg. 16	BRC-R					
78	Recommend a campus study to understand graduate student funding, including the amount and use of non-resident tuition; graduate students versus post doc ratios; and expenses of graduate students.	VIII.17., pg. 16	BRC-R	Provost, Dean--Grad Studies	Dean-Grad Studies			
79	Encourage academic plans that provide an appropriate balance of graduate student and post-doctoral training opportunities; ensure that tuition policies support this goal.	VIII.18., pg. 16	BRC-R	Provost, Deans	Deans			
80	Perform a formal analysis of the costs and benefits of the MD-PhD and VMD-PhD programs .	VIII.19., pg. 16	BRC-R	Provost, Dean-SOM, Dean-VM, VC-ARM	VC-ARM			
81	Increase the number of graduate student training grants (ideally they should double over the next 5 years).	VIII.20a., pg. 16	BRC-R	Dean-Grad Studies	Dean-Grad Studies			
82	Form an advisory committee of current training grant principal investigators to mentor new potential training grant principal investigators .	VIII.20b., pg. 16	BRC-R	Dean-Grad Studies	Dean-Grad Studies			
83	Hire an Office of Graduate Studies analyst dedicated to training grants (see also VI.4).	VIII.20c., pg. 16	BRC-R	Dean-Grad Studies	Dean-Grad Studies			
84	Support potential principal investigators travel to visit with training grant funders.	VIII.20d., pg. 16	BRC-R	Dean-Grad Studies	Dean-Grad Studies			

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85	Modify the UC Davis policy on non-resident tuition for graduate students so that all graduate students (residents, non-resident US, and non-resident international) fees/tuition have identical cost ramifications for researchers and their grants.	VIII.21., pg. 16	BRC-R	Dean-Grad Studies	Dean-Grad Studies			
86	Remove administrative barriers and increase transparency Reorganize and re-staff the Office of Research to ensure a culture that establishes service to faculty as the top priority and emphasizes appropriate mitigation, rather than elimination, of compliance risks.	IX, pg. 16	BRC-R	VCR	VCR	OVCR, Research Admin, RCI	Faculty Outreach Program developed to include faculty led seminars for OR staff. Purpose to improve connection between staff and faculty regarding their research--make research come alive for the staff. 1st program took place in July 2011. On-going discussions with OR leadership regarding risk benefit assessment. Have analyzed when it is OR risk aversity vs. OP driven decisions causing hold ups. Hired full-time director of RCI. Reorganized SPO into campus-aligned assignments. Created Negotiation team with specialized training to move sponsored research agreements forward more quickly within UCOP policies but with increased training on problem solving and creative approaches to contract impasses. Working with IRB committees to adopt an outreach-based supportive culture within the compliance community.	Completed and on-going
87	Office of Research: In the current Vice Chancellor for Research search, emphasize the importance of a leader who prioritizes the creation and protection of a culture of partnership and collaboration between research administration staff and principal investigators and their research staff.	IX, pg. 16	BRC-R					
87		IX.1., pg. 16	BRC-R	Chancellor	Chancellor		See Faculty Outreach Program, described in #86, above	Completed
88	Study the Interdisciplinary Research Support unit as a model for the Office of Research and determine whether additional resources or support are needed to ensure that all campus constituencies benefit from their services (see also VI.4). (similar to #53)	IX.2., pg. 16	BRC-R	VCR	VCR	OVCR, IRSI, IRS	See response to #53. IRS: Assessed right-sizing of unit; determined we need to add 3 additional FTEs	Completed

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89	Launch in-depth operational reviews for the Institutional Review Board and Sponsored Programs Office to address persistent concerns. Explore issues such as: processing time/backlogs, perception of seeking to manage risk to zero, adequacy of skill level in program staff, suitability of technological resources, and level of commitment by program staff to faculty research success.	IX.3a., pg. 16	BRC-R	VCR	VCR	Research Admin, IRB, SPO	Huron review of SPO complete and implementation of recommendations is complete or in progress. <i>See Huron recommendations for SPO #265 - #270 below.</i> SPO: Reviewed and realigned SPO mission statement to balance compliance and campus service functions. Delegated signature authority to Team Leaders and high level Analysts. Heavily utilize Informed Participation by departments for for assuming financial risk. Request approval for exceptions to policies from UCOP and utilize existing UCOP exceptions, such as agreeing to providing sponsors with commercial non-exclusive royalty-free licenses (NERFs), based on Pilot Plan approved by UCOP. IRB: underwent significant review of SOPs, structures and personnel and was overhauled. Regarding..."level of commitment by program staff to faculty research success", see Faculty Outreach Program described in #86 above.	Completed
89						SPO	Agreement reached between SPO and University Relations to assign a dedicated SPO analyst to pre-identified Foundations to ensure smooth handling and support of development efforts and external relations with sponsor.	Completed
89						SPO	Conducted team building workshops to facilitate better internal communication, partnerships and problem-solving efforts.	Completed and on-going
89						SPO	Escalation Rate for Tuition planning policy improvement sought by SPO management and received.	Completed
89						SPO	Partnered with College of Engineering to develop pilot Affiliates Program (required special exceptional approval from UCOP).	Completed
89						IRB	Revised IRB application to better address regulatory concerns and minimize ambiguity in material submitted for review. Also went to three years for exempt reviews to reduce burden on faculty and reviewers.	Completed
89						IRB	Added staff and reorganized office to improve turnaround time of Expedited reviews.	Completed
89						IRB	Assessed reporting criteria for approval processing and turnaround times, appropriate level of reviews, IRB member composition, recommended and made changes. Compliance weaknesses have been addressed; participation on national committees to establish best practices.	Completed and on-going
89						IRB	Improved web site usability, content and tools.	Completed
89						IRB	Improvements to EDocs routing of submissions has been a huge time-saver for researchers.	Completed
89						IRB	IRB approval documents communicated electronically have been well received by researchers.	Completed

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89						IRB	Replacing antiquated office tracking system to ensure that requirement to maintain records is met. Even more, pursuing AAHRPP accreditation.	Completed
89						IRB	Offering CITI on-line training. For researchers who collaborate with other institutions, enables a single universal online training for human research protections.	Completed
89						IRB	New template consent forms have been well received by researchers.	Completed
89						IRB	Education team doing ad hoc meetings and trainings for researchers both in Sacramento and Davis.	Completed and on-going
90	Identify technology solutions that streamline and expedite the operations of the Sponsored Programs Office, Institutional Review Board, Institutional Animal Care and Use Committee, Biological Safety Administrative Advisory Committee, Material Transfer Agreement and other Office of Research units; move from paper forms to electronic formats.	IX.3b., pg. 16	BRC-R	VCR	VCR	Research Admin, IA, IRB, IRS, OCR, RCI, SPO	IA: expanded electronic MTAs; eliminated most paper and uses primarily electronic documents. IRS: Developed on-line submission process for Limited Submissions programs. RCI: Developed online submission system for Conflict of Interest and Stem Cell Oversight reviews. Tied to Quali Coeus launch. SPO: Published template agreements on website so that PIs can facilitate relationships building with potential sponsors by providing sponsor with UC specific agreement language, terms and conditions. The Quali Coeus Research Administration System implementation imminent. See Huron IA and Pre- / Post- Award recommendations below, such as Huron OLS 8 [#236, #238, #247 - #249], P 10 [#240], P 13 [#252], P 14 [#253], P 15 [#254].	IA, COI, IRS: Completed Others: In progress
91	Continue the clinical contracting initiative on the Sacramento campus and establish a clinical trials branch office on that campus.	IX.4., pg. 16	BRC-R	Dean-SOM	Dean-SOM			
92	Establish procedures using project management approaches that eliminate nonvalue-added steps in grants management, with a focus on timeliness and efficiency, including establishing metrics that are routinely monitored with results reported to the faculty. Standardize and expedite the handling of routine proposals, including removal of unnecessary steps and approvals in the grant submission process. Connect Sponsored Programs Office funding to research expenditures.	IX.5., pg. 16	BRC-R	VCR	VCR	SPO	Streamlined Proposal and Awards Submission: use one single point of contact (electronic email address Proposals@ucdavis.edu & Awards@ucdavis.edu) to improve tracking and turnaround time of pending deadlines, negotiations status, etc. See Huron recommendations for SPO #265 - #270 below. We only require documents/ information from departments that are mandatory (by Sponsor Policy, or UC policy) for processing of the proposal and/or award.	Completed
92						SPO	Created "intake" area for all incoming proposals & awards to reduce delays created when submitted to general office personnel.	Completed
92						SPO	Mapped all business processes, eliminating all non-mandatory requirements and provided consistent internal procedures for SPO staff resulting in improved service to researchers.	Completed

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92						SPO	Reduced data sheet and proposal review requirements (mandatory vs. recommended data) to reduce burden on PI and dept. to provide only that which is required by policy or regulation.	Completed
92						SPO	Created Help Desk for general inquiries so that analysts are not diverted while working on proposal reviews and award negotiations.	Completed
92				Chancellor	Chancellor		Faculty Outreach Program developed to include faculty led seminars for OR staff. Purpose to improve connection between staff and faculty regarding their research--make research come alive for the staff. 1st program being scheduled now for July	In progress
93	Develop a special projects office within the Sponsored Programs Office to handle non-routine submissions.	IX.6., pg. 17	BRC-R	VCR	VCR	SPO	We have identified the Team Leaders as the single-point-of-contact for projects not yet assigned to an analyst. Negotiation team launched in 2012 to handle more intense negotiation situations. Special subaward team created in 2014 to address audit and backlog issues on collaborative projects. See Huron recommendations for SPO #265 - #270 below.	Completed
94	Delegate sponsored program functions to the colleges whenever possible (including decentralization of resources commensurate with decentralization of workload) so that the grants officers are more accountable to the appropriate stakeholders, deans and faculty; use the recent successful move of clinical contracts to the UC Davis Health System contracts office as an example.	IX.7., pg. 17	BRC-R	VCR	VCR	SPO, Research Admin	Have worked decentralized proposal submission process into requirements of Quali Coeus system launch. Consulted with ADMAN group during design phase. see Faculty Outreach Program described in #86 above as well as Huron recommendations #265 - #270 below.	In progress
95	Conduct a thorough review of the research administration pre-and post-award processes to define and optimize efficiencies in the Office of Research, extramural accounting, deans' offices and departmental offices.	IX.8., pg. 17	BRC-R	VCR	VCR	OVCR, SPO	Hired Huron to review pre- and post-award processes. Mapped business processes for purchasing/accounts payable and self-supporting activities. Developed new chart of accounts and associated funding principles. see Huron Pre-/Post- Award recommendations below [#258 - #372].	Completed
96	Review the current interpretation of human resource policies at the Office of Research.	IX.9., pg. 17	BRC-R	VCR	VCR	Research Admin	Hired Huron to review. See their personnel-related recommendations below [#238, #246, #258 - #259, #262, #265 - #267, #367 - #372]	Completed
96						Research Admin	Related to #370. Mapped business processes for payroll/personnel, including academic personnel	Completed
96						Research Admin	Mapped business processes for recruitments and salary setting	Completed
96						Research Admin	Completed Salary Management Training for Research Unit Managers. Delegated full authority to work directly with HR in setting salaries on new hires and reclassifications, within campus guidelines.	Completed

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96						Research Admin	Equity guidelines reviewed in Salary Management Training (above). Equity adjustments cannot be re-delegated by policy and must still be approved by VC office. Optional request form provided to managers to assist them in preparing their request, which may be attached to the PeopleAdmin action.	Completed
96						Research Admin	<i>Related to #96.</i> Launched 3 HR help-desks: 1. Staff personnel (orhr-help@ucdavis.edu) 2. Academic personnel (orap-help@ucdavis.edu) 3. VC office recruitments (or-recruit@ucdavis.edu) Each managed in a separate help-desk application allowing for tracking, linking, historical searching of cases. Customers receive auto-updates.	Completed
96						Research Admin	<i>Related to #96.</i> Planned delegation of PeopleAdmin Approver Level 2 to units to work directly with HR, once managers and staff have successfully completed planned PeopleAdmin and position description training.	In progress
97	Enhance coordination between the Office of Research and the Office of Graduate Studies, including developing strategies to better support post-docs and graduate students and training grants.	IX.10., pg. 17	BRC-R	VCR, Dean-Grad Studies	Dean-Grad Studies	OVCR	Have a jointly funded .5 FTE position with Graduate Studies on a UCSF training grant.	In Progress
98	Advertise more funding opportunities to campus using the same mechanism as for limited submissions.	IX.11., pg. 17	BRC-R	VCR	VCR	Research Admin, IRSI, SPO	IRSI: OR's Limited Submissions have continually increased number of advertised funding opportunities. IRS team providing funding opportunity support and piloting new PIVOT software for this purpose. SPO: All funding notices are forwarded to IRS for campus distribution using their "funding" listserve. <i>See Huron recommendations for SPO #265 - #270 below .</i>	Completed and on-going
99	Human Resources (see also II. and III. and IV. [#s 12 - 38]):	IX, pg. 17	BRC-R					
99	Change human resources policies for both staff and academic personnel to enhance support of and reduce barriers and bureaucratic burdens for staff and academic "soft-funded" positions. Streamline the hiring of research academic staff (Project Scientist, etc.) from a 9-month to a 2-month process. Reinstate the PGR 'postgraduate researcher' title to increase flexibility and timeliness in hiring researchers for 'soft money' positions.	IX.12., pg. 17	BRC-R	VC-ARM	VC-ARM			
100	Optimize staff performance by setting clear expectations for performance that are assessed through the annual review process.	IX.13., pg. 17	BRC-R	Deans, VCs				
101	Other Administrative:	IX, pg. 17	BRC-R					
101	Assess effectiveness of MyTravel and MyInfoVault, which, although designed to increase efficiency, are perceived by many as actually increasing workload.	IX.14., pg. 17	BRC-R	Provost, VC-ARM, VP-Academic Personnel	VC-ARM, VP-Academic Personnel			

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102	Streamline processes for establishing and adjusting rates for recharge units; develop a business model that enables use of recharges for education.	IX.15., pg. 17	BRC-R	VC-ARM	VC-ARM			
103	Establish a list of current recharge units and facilities to assist faculty with their research and with obtaining instruments not already available on campus.	IX.16., pg. 17	BRC-R	VC-ARM	VC-ARM		See central research facilities website (#41, above)	
104	Remove academic personnel/compensation plan barriers to collaboration between health sciences and general campus units, as well as intercampus and campus national lab barriers.	IX.17., pg. 17	BRC-R	VP- Academic Personnel, Academic	VP-AP			
105	Deal with limitations of faculty in Garamendi-funded buildings working on funding from other units; obtain buildings via gifts to avoid such limitations.	IX.18., pg. 17	BRC-R	Chancellor, Provost, VCR	Provost	OVCR	Consideration for Garamendi-funded entities included in new campus budget model. On-going discussions between VCR and Provost leadership.	Completed and on-going
106	Eliminate automatic co-funding of programs (such as funding of fees/tuition and benefits from 19900 funds) to be in concordance with other UC campuses. This will reduce hidden and obligatory overhead burdens.	IX.19., pg. 17	BRC-R	Provost, VCR	VCR	OVCR, Research Admin	OR is unclear on this recommendation. More research needs to be done.	Implemented alternate strategy
107	Enable separate limited submissions from all 501(c) 3 nonprofit entities controlled by the university. At present we are allowed only one submission from the university as a whole, which puts us at a disadvantage compared with universities that view main campus, medical school, etc. as separate 'corporations'.	IX.20., pg. 17	BRC-R	Provost, VCR	VCR	OVCR, Research Admin	Not started. This is often agency specific regarding how the agency handles limited submissions and how the program is announced. Would require CCR registration and DUNS # modifications	Recommendation disregarded
108	Standardize metrics for monitoring and reporting UC Davis's research activities	X, pg. 18	BRC-R					
108	The Office of Research should routinely monitor and transparently report, in standardized formats, information concerning research awards (total, by unit, by field, etc.), award/funding per FTE-funded faculty, award/funding per faculty member, award/funding per sq. ft. of assigned research space), trends in awards, funding, rankings, and research impact (publications, etc.).	X.1., pg. 18	BRC-R	VCR, VC- ARM	VCR	SPO, Research Admin	Improved management reporting for Match, Bridge Funds and Strategic Investment Funds to show VCR where uncommitted funds can be maximized. Canned reports developed in C&G system and reporting design team working to establish standardized reporting with imminent Quali-Coeus roll-out	In progress
109	The Office of Research should routinely monitor comparisons between research metrics for UC Davis and for benchmark institutions, and transparently and consistently report the results.	X.2., pg. 18	BRC-R	VCR	VCR	Research Admin	Bi-monthly newsletters, annual report, website, other communications. See #40: Marketing Director position is under recruitment in order to satisfy this recommendation. Have launched new website infrastructure, will use annual report template for marketing information of the ORUs and will release monthly "research matters" newsletter in the future. Highlights of ORUs as they pertain to the 2020 Vision will be published with OR annual report	In progress

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110	These reports on research should be made available to deans and faculty to use in academic and other planning.	X.3., pg. 18	BRC-R	VCR	VCR	Research Admin	Bi-monthly newsletters, annual report, website, other communications. See #40: Marketing Director position is under recruitment in order to satisfy this recommendation. Have launched new website infrastructure, will use annual report template for marketing information of the ORUs and will release monthly "research matters" newsletter in the future. Highlights of ORUs as they pertain to the 2020 Vision will be published with OR annual report	In progress
111	These reports should also be made available to the media and general public to inform external constituencies about research excellence at UC Davis.	X.4., pg. 18	BRC-R	VCR, VC-D&AR	VC-D&AR	Research Admin, OCR	Bi-monthly newsletters, annual report, website, other communications. See #40: Marketing Director position is under recruitment in order to satisfy this recommendation. Have launched new website infrastructure, will use annual report template for marketing information of the ORUs and will release monthly "research matters" newsletter in the future. Highlights of ORUs as they pertain to the 2020 Vision will be published with OR annual report	In progress
112	The campus should provide sufficient funding to the Office of Research to produce these reports.	X.5., pg. 18	BRC-R	Provost, VC-ARM	Provost			
113	Enhance capacity and visibility of UC Davis research	XI, pg. 18	BRC-R					
113	Develop a "Davis brand" that is unique and distinct from that of other UC campuses and benchmark institutions; the brand should accurately reflect the sophistication and impact of our research enterprise (see also II. above).	XI.1., pg. 18	BRC-R	Chancellor, Provost, VC-UR	VC-UR			
114	Effectively coordinate actions of all advancement offices (public relations, Government and Community Relations, alumni, development, etc.) to assign responsibility for and coordinate messages about research at UC Davis (some benchmark institutions, for example, have public relations and fundraisers specifically assigned to particular "research beats").	XI.2., pg. 18	BRC-R	Chancellor, Provost, VC-UR	VC-UR			
115	Enhance the effectiveness of our Washington and Sacramento offices by increasing opportunities for their staff and UC Davis research faculty to interact.	XI.3., pg. 18	BRC-R	Chancellor, Provost, VC-UR	VC-UR			
116	The research impact of new hires and the accomplishments of faculty, staff, and students should be enthusiastically and pro-actively communicated to the media, government representatives, other academic and funding organizations, and news outlets.	XI.4., pg. 18	BRC-R	VC-UR; VCR	VC-UR		See bi-monthly newsletters described in #40, above	In progress
117	Faculty and students should be encouraged to seek professional awards and to nominate each other and advocate for each other.	XI.5., pg. 18	BRC-R	VC-Student Affairs, Deans, department chairs	VC-SA, Deans			

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118	Remove disincentives that discourage faculty from engaging in time-consuming, high-profile activities that benefit the campus research enterprise, such as serving on major grant review committees, being editors of high-impact journals, and running for offices in their professional organizations. Incentivize faculty participation on national service committees, review panels, workshops, and rotator positions in professional organizations that provide exposure and allow input to the establishment of national research priorities/requests for proposals, etc. This should align with new unit-specific faculty workload policies.	XI.6., pg. 18	BRC-R	VP- Academic Personnel, Academic Senate	Academic Senate			
119	Support faculty members who are public intellectuals that communicate research ideas and findings through traditional and new social media. These communications add visibility to the university's scholarship.	XI.7., pg. 18	BRC-R	Deans, VP- Academic Personnel, Academic Senate	Deans			
120	Explore the feasibility of developing education programs (e.g., Master's programs in Public Policy and Public Administration) that are designed to appeal to the educational needs of state employees and legislative staff. This would enhance public awareness of the benefits provided by the UC system and UC Davis in particular.	XI.8., pg. 18	BRC-R	Chancellor, Provost, Academic Senate	Academic Senate			
121	Support the new Awards Committee, designed to support nominations of UC Davis faculty for major awards such as membership in the National Academies.	XI.9., pg. 19	BRC-R	Deans	Deans			
122	Establish and maintain a creative faculty committee to advise External Relations on publicity opportunities.	XI.10., pg. 19	BRC-R	VC-UR, Academic Senate	Academic Senate			
123	Create an electronic newsletter about research advances to be distributed to alumni, donors, legislators, and other supporters.	XI.11., pg. 19	BRC-R	VC-UR	VC-UR		See bi-monthly newsletters described in #40, above	
124	Enhance commitment of Government and Community Relations staff to interact with faculty and advance issues. Address UC Office of the President restrictions on UC Davis approaching government officials and requests for earmarks.	XI.12., pg. 19	BRC-R	VC-UR	VC-UR			
125	Enhance fundraising initiatives to attract increased philanthropy for research staff, faculty and projects.	XI.13., pg. 19	BRC-R	VC-UR	VC-UR			
126	Encourage faculty participation in fundraising.	XI.14., pg. 19	BRC-R	Deans, VC- UR	VC-UR			
127	Improve coordination between central and unit-specific fundraising. Identify high-impact research initiatives as foci for philanthropy.	XI.15., pg. 19	BRC-R	Deans, VC- UR	Deans, VC- UR			

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128	The investment in development staff and infrastructure should be proportional to Chancellor's goals for the comprehensive campaign.	XI.16., pg. 19	BRC-R	Chancellor, VC-UR	VC-UR			
129	Establish and communicate clear objectives and priorities for the role of technology transfer and commercialization. (per Huron, aligned with #242: Develop and adopt a revised mission statement for InnovationAccess that better positions it to execute its responsibilities. (statement included); and with #251: Clarify decision-making for new cases.)	1, pg. 7	BRC- TTC	Chancellor, VCR	VCR	IA, OVCR	IA has revised and published its mission statement; revised patenting & marketing nomenclature; updated decision tree; faculty web portal development by ITS in progress. See <i>Huron IA recommendations MVS 1 [#242] and P 12 [#251] below and bi-monthly newsletters described in #40, above.</i>	Completed and on-going
130	Recognize the primary objective of technology transfer and commercialization activities to be: <ul style="list-style-type: none"> • Advancing the research mission of the university. • Maximizing the dissemination of the knowledge, practice, and products generated within the university, recognizing both the central role of inventors as well as the time-sensitive value of the intellectual property. • Pursuing policies and contracts that promote long-term and beneficial relations with public and private sector partners and, when possible, supporting regional economic development of an innovation ecosystem that supports and facilitates further dissemination of knowledge, practice, and products. 	1.i., pg. 7	BRC- TTC	VCR	VCR	IA	IA has revised and published its mission statement; revised patenting & marketing nomenclature; updated decision tree; faculty web portal development by ITS in progress. See <i>#131 below as well as Huron IA recommendations MVS 1 [#242] and P 12 [#251].</i>	Completed and on-going
131	Adopt the values of "9 Points to Consider in Licensing Technology" (see Appendix X) <ul style="list-style-type: none"> • In particular in retaining the right to address "unmet needs, such as those of neglected patient populations or geographic areas, giving particular attention to improved therapeutics, diagnostics and agricultural technologies for the developing world". 	1.ii., pg. 7	BRC- TTC	VCR	VCR	IA	IA Director was a co-author of the 9 Points document. UCD IA adopted 9 points with other campuses several years ago.	Completed
132	Ensure that these revised and clarified objectives enable TT&C professionals to focus on mitigating rather than eliminating risks of conflict of interest and/or lost revenue.	1.iii., pg. 7	BRC- TTC	Chancellor, VCR	VCR	IA, OVCR	IA has revised and published its mission statement; revised patenting & marketing nomenclature; updated decision tree; faculty web portal development by ITS in progress. See <i>Huron IA recommendations MVS 1 [#242] and P 12 [#251].</i>	Completed and on-going
133	Establish clear metrics for monitoring these objectives, and a system for soliciting feedback from all TT&C constituencies.	1.iv., pg. 7	BRC- TTC	VCR, Academic Senate	VCR	IA	IA has also revised and published its mission statement; revised patenting & marketing nomenclature; updated decision tree; and has adopted all metrics recommended in Huron report.	Completed and on-going
134	Create a new office combining InnovationAccess with Industry Research Agreements and reporting into the Office of the Chancellor. (per Huron, aligned with #246: Finalize the position description for the position of Associate Vice Chancellor for Tech Management & Corporate Research Relations. Recruitment of this key position should begin as soon as possible.) (also related to #233)	2, pg. 7	BRC- TTC	Chancellor	Chancellor			

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135	Create a single office combining technology patenting and licensing and industry research agreements with a strategy, structure, budget, and staffing to reflect the above objectives. (similar to #142)	2.i., pg. 7	BRC-TTC	VCR	VCR	IA, OCR	The Huron report recommended a new AVC, Venture Catalyst (referred to as New Ventures) and Office of Corp. Relations as well as formation of Nat'l Advisory Board for VCR. (note: VCR Nat'l Advisory Board is not IA task). IA established Liaison to more efficiently assist SPO with IP in SRAs. OR established Corp. Relations Office and hired new AVC; Venture Catalyst has 6 positions approved as of FY12/13. IA has 2 IPO reps on new SPO Negotiation Team.	Completed and on-going
136	Reorganize new office to report into Office of the Chancellor in order to begin immediately the restructuring process.	2.ii., pg. 7	BRC-TTC	Provost, VCR	VCR	OVCR	See #135 above.	Implemented alternate strategy
137	Establish an oversight board for the new office chaired by Provost and comprised of faculty, staff, and external "observers." (per Huron, aligned with #237: Establish a national advisory board to advise UC Davis on best practices and opportunities related to industry partnering and commercialization.)	2.iii., pg. 7	BRC-TTC	Provost	Provost		see Huron project #3	
138	Identify the core competencies required to successfully accomplish the services provided by this new office and develop new position descriptions needed to achieve the stated objectives of this unit. Once position descriptions are reviewed and classified, reassign, retrain and/or hire staff accordingly.	2.iv., pg. 8	BRC-TTC	Provost	Provost		see Huron project #3	
139	Provide decision-making authority for all technology licensing and industry research agreements to this new office.	3, pg. 8	BRC-TTC	VCR	VCR	IA	IA has delegated authority to negotiate and execute all IP-related agreements; research agreements are within SPO. IA has identified certain delegated authority for policy exceptions and has met with UCOP/RPAC about granting exception to policies to IA. Approval from UCOP RPAC will require systemwide VCR & Chancellor for all campuses to support to UCOP. See #135 above & Huron IA recommendation 4 [#239].	Completed and on-going
140	Delegate authority to grant particular policy exceptions within the new office and leadership for patenting, licensing, and industry research agreements. (per Huron, aligned with #239: Seek delegated authority to enter into agreements that are exceptions to UC policy.)	3.i., pg. 8	BRC-TTC	Chancellor, VCR	VCR	OVCR, IA	IA has met with UCOP/RPAC about granting policy exceptions to IA. Will be long-term issue & require high-level UC system involvement (Chancellor & VCR) for all campuses. EAVC engaged in Task Force on Openness in Research Policy Revisions relative to publication and citizenship restrictions in grants and contracts to allow campus delegated authority for waiver decisions - UCOP policy will undergo review by VCRs, systemwide senate and UCD senate prior to adoption. See Huron IA recommendation 4 [#239].	In progress
141	Ensure that inventors are involved in all aspects of patenting, marketing and licensing and that any potential conflicts of interest are appropriately recognized and managed in light of this involvement.	3.ii., pg. 8	BRC-TTC	VCR	VCR	IA	Standard operating policies & procedures are in place to ensure that inventor involvement is requested by IA. Campus COI committee established.	Completed and on-going

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142	Prioritize strategy and structure of new office with a primacy on fostering those long-term relationships with industry that uphold the university's mission. (per Huron, aligned with #245: Conduct an analysis of future licensing opportunities.) (similar to #135)	4, pg. 8	BRC-TTC	VCR	VCR	OCR, IA	VCR hired new AVC, established new Office of Corp Relations and approved 6 addtl staff for Venture Catalyst unit.	Completed
143	Integrate licensing and industry research agreements, accounting for the predicted value of research agreements, durability and defensiveness of resulting IP; and inventor involvement. (similar to #159)	4.i., pg. 8	BRC-TTC	VCR	VCR	IA, OCR	The Huron IA report recommended a new AVC, Venture Catalyst, Office of Corp. Relations and formation of a New Ventures group. IA established Liaison to more efficiently assist SPO with IP in SRAs. OR hired new AVC and established new Office of Corp Relations and approved 6 addtl staff for Venture Catalyst unit. IA has 2 IPO reps on new SPO Negotiation Team.	Completed and on-going
144	Make the negotiation process with UC Davis transparent, simple, timely, and practical, reducing the time and uncertainty of negotiating licensing and sponsored research agreements, particularly through the use of standardized agreements.	4.ii., pg. 8	BRC-TTC	VC-ARM, VCR	VCR	IA, OCR, SPO	SPO Negotiation Team established with membership from various campus units that handle agreements to achieve efficiencies. IA has developed & posted standard agreement templates for ROIs, Licenses, Invention Releases and web-based MTAs on IA website. VCR has hired new AVC and est. Corp. Relations. IA has adopted Huron recommended nomenclature for IP and ITS is developing inventor web portal.	Completed and on-going
145	Maximize support for research programs when building industry relationships (sponsored research, affiliate boards, translational research), recognizing the relative value of direct research support relative to total licensing income.	4.iii., pg. 8	BRC-TTC	VCR	VCR	OCR, IA, SPO	IA has developed & posted standard agreement templates posted on IA website. OR has hired new AVC and est. Corp. Relations. IA has adopted Huron recommended nomenclature for IP and ITS is developing inventor web portal. IA has two IPOs as members of the new SPO Negotiation Team for SRAs.	Completed and on-going
146	Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office. (per Huron, aligned with #240: Develop a strategic plan for data management that addresses the storage and retrieval of data. UC Davis should assess its needs for a comprehensive database and evaluate the commercial options for database platforms; #249: An administrative position should be hired to assist the IP Analysts in routine administrative tasks; #250: Reestablish access to Sponsored Projects database; #252: Initiate a preliminary, scientific review of MTAs; #253: Enable department administrators and PIs to initiate MTAs; #254: Enable more web-based MTAs; and #255: Conduct a thorough analysis of current workloads and assign cases into categories that reflect status and need	5, pg. 8	BRC-TTC	VCR	VCR	IA, OCR, SPO	IA has adopted Huron recommended nomenclature for IP and improved its website. Adopted new nomenclature per Huron; updated decision tree for patent decisions; IA has published metrics and annual reports and launched a new website. See <i>Huron IA 5</i> [#240], <i>OSL8.5</i> [#249], <i>P 11</i> [#250] & <i>P 13 - 16</i> [#252 - 255].	Completed and on-going
147	Reduce the time and uncertainty of patenting and licensing process through the following actions: Create a tracking system for use by office, oversight board, and inventors that provides transparency, status, and accounting on all cases.	5.i.a., pg. 8	BRC-TTC	VCR	VCR	IA	Huron did not review the UC Patent Tracking System (PTS) which provides detailed patent, licensing and accounting information. Electronic MTAs for most MTAs is in place. MTA & 2 IA surveys completed. IA has adopted Huron recommended metrics, publishes an OR annual report and a UC OTT annual report.	Completed and on-going

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148	Impose schedules and deadlines for invention review and decisionmaking and to monitor performance and expedite timely dissemination of university knowledge, practices and products.	5.i.b., pg. 9	BRC-TTC	VCR	VCR	IA	IA has established new nomenclature to better clarify IP status and has redone its website. <i>See Huron IA MVS 2 [#243], 6 [#241] and P 12 [#251].</i>	Completed and on-going
149	Establish faculty patent review board to provide input to patent decisions.	5.i.c., pg. 9	BRC-TTC	VCR	VCR	IA	Huron's report did not support BRCTTC recommendation to est. a patent review board. IA is not pursuing establishing a review board. <i>See Huron IA 2 [#237].</i>	Recommendation disregarded
150	Communicate the criteria for decision-making relating to all invention ownership and patent process decisions. These criteria should clarify how individual inventions are evaluated for their patent potential.	5.i.d., pg. 9	BRC-TTC	VCR	VCR	IA	IA has adopted Huron recommended nomenclature for IP and redone its website. Adopted new nomenclature per Huron; updated decision tree for patent decisions.	Completed and on-going
151	Develop a methodology for managing and communicating how the overall patent portfolio is managed for investment, maintenance, and divestment in the intellectual property assets belonging to the university. (<i>per Huron, aligned with #244: Develop a more business development orientation to InnovationAccess activities</i>)	5.i.e., pg. 9	BRC-TTC	VCR	VCR	IA	UCOP has IP policies and well-established procedures in place. Also IA has redone its website, adopted Huron recommended nomenclature for IP, and updated decision tree for patent decisions. MTA & 2 IA surveys completed. <i>See Huron IA OSL 3 [#244].</i>	Completed and on-going
152	Install templates for standard patenting and licensing agreements such as pre-ROIs, ROIs, licensing agreements, MTAs, waivers of ownership, and disclaimers of ownership as well as relevant supporting documentation.	5.i.f., pg. 9	BRC-TTC	VCR	VCR	IA	IA has developed and implemented simpler, shorter templates for ROIs, licenses, MTA, CDAs, release of invention and other agreements. Templates for License, ROIs, MTAs and releases are posted on website.	Completed
153	Develop differentiated policies for managing university IP that account for the differences between disciplines and end-use markets (i.e., between life sciences and engineering, or human and veterinary medicine).	5.i.g., pg. 9	BRC-TTC	VCR	VCR	IA	This recommendation would create inequitable treatment of inventors. It is not supported by the Huron IA report.	Recommendation disregarded
154	Reduce the costs of patent prosecution and licensing in order to provide more control and strategic choice in the patenting decisions and to improve the revenue accruing to campus. a. Establish flat fee (unit pricing) for provisional and patent	5.ii.a., pg. 9	BRC-TTC	VCR	VCR	IA	This recommendation was already completed before the BRC-TTC was established. IA Director was solicited by UCOP OGC to assist with developing and implementing a system-wide plan for reduced hourly rates for attorneys and to set flat fees for certain types of patent applications.	Completed
155	Assign the management and payment of legal fees to exclusive licensees (while retaining "client" status and approval authority).	5.ii.b., pg. 9	BRC-TTC	VCR	VCR	IA	This recommendation of BRC-TTC interferes with attorney/client relationship. Current UC policies and practices already provide licensees with ability to assist TTOs in patent prosecution. This recommendation is not supported by Huron report.	Recommendation disregarded
156	Improve the effectiveness of licensing practices in the following ways: Upgrade methods and metrics for marketing UCD IP, including greater involvement of inventors and others in recognizing potential licensees, in developing more effective communication materials, and in more targeted marketing.	5.iii.a., pg. 9	BRC-TTC	VCR	VCR	IA	OR has established Office of Corp. Relations. IA has revised license template; established new metrics and is establishing inventor web portal. IA has revised and published its mission statement; revised patenting & marketing nomenclature; updated decision tree; and has adopted all metrics recommended in Huron report. IA has annual reports and implemented both an MTA survey and two IA surveys. Marketing Analyst hired. Also Venture Catalyst has 6 new positions approved for FY12/13. <i>Also see Huron IA 1 [#236], 6 [#241], MVS 2 [#243], OSL 3 & 4 [#244 & #245].</i>	Completed

BRC-R: Blue Ribbon Committee on Research

WAG: Washington Advisory Group Report

BRC-TTC: Blue Ribbon Committee to review Technology

Transfer and Commercialization

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157	Utilize UC Davis alumni and external partners who can informally assist with marketing and serve as mentors and brokers.	5.iii.b., pg. 9	BRC-TTC	VCR, VC-D&AR	VCR	OCR, IA	IA is active with campus & ext. orgs (e.g., COE, GSM, SARTA, MedStart) with alumni & other mentors. VCR may establish Nat'l Advisory Board. <i>Also see Huron IA 2 [#237] and MVS 2 [#243].</i>	Completed
158	Recognize the need for and support inventor involvement in marketing of IP, recognizing that inventor involvement is a central criterion for successful patenting and licensing.	5.iii.c., pg. 9	BRC-TTC	VCR	VCR	IA	IA ROI procedures and decision tree include faculty involvement throughout patenting and licensing processes. IA is establishing faculty web portal, has adopted new metrics, and implemented both MTA & 2 IA surveys. Campus COI committee is well-established and includes IA representation.	Completed and on-going
159	Integrate IP and licensing with industry research agreements to balance the benefits of licensing income with short- and long-term industry research relationships. (similar to #143)	5.iii.d., pg. 9	BRC-TTC	VCR	VCR	OCR, IA	The Huron IA report recommended a new AVC, Venture Catalyst, Office of Corp. Relations and formation of Nat'l Advisory Board for VCR. IA established Liaison to more efficiently assist SPO with IP in SRAs. OR hired new AVC, established new Office of Corp Relations and approved 6 add'l staff for Venture Catalyst unit. IA has 2 IPO reps on new SPO	Completed
160	In the interest of maximizing dissemination of knowledge, practice, and products developed within the university, and recognizing the central role played by inventors in this dissemination, the university should waive ownership of IP to inventors if they desire it and with their informed consent regarding risks of conflicts of interest and ongoing campus research limitations.	5.iii.e., pg. 10	BRC-TTC	VCR	VCR	IA	UC policy has well-established criteria for non-assert of ownership and release of UC-owned inventions. Release is prohibited by federal law for federally funded inventions. Release as recommended in BRC-TTC report would require new state and federal laws to be enacted. Huron IA report does not support this. Four years ago IA established and published policy for release of eligible inventions. In 2011 IA sent advisory letter to all Deans and VCs as a reminder of this policy. Although IA cannot directly release federally funded inventions, IA does assist inventors with obtaining releases from federal funding agencies for inventions returned by UCD.	Recommendation disregarded
161	Create a space within the culture on campus to enable faculty to increase their involvement in and commitment to technology transfer and commercialization.	6, pg. 10	BRC-TTC	VCR	VCR	IA	Huron report recommends campus EIR program and campus incubator. IA had a central role in the establishment of the COE incubator in 2010. Venture Catalyst is working with UCOP and with campus units to establish a Distributed Research Incubation & Venture Engine (DRIVE) network to support faculty startups. Venture Catalyst is assembling a technology and discipline stratified Venture Catalyst MentorNet™. <i>See Huron IA P17 & P18 [#256 & #257].</i>	Completed and on-going
162	Communicate the value and central mission of TT&C at senior leadership levels (Chancellor, Provost, OVCR, and Deans) and publicize across campus and to the general public.	6.i., pg. 10	BRC-TTC	Chancellor, Provost				
163	Establish clear expectations around faculty role, choice, responsibilities, and recourse in engaging in TT&C activities.	6.ii., pg. 10	BRC-TTC	Deans, VP-Academic Personnel, Academic Senate				

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164	Recognize , visibly and publicly, the inventors, laboratories, departments, and colleges that disseminate knowledge, form spinout companies, generate licensing income, or otherwise bring returns to campus through innovation and entrepreneurship.	6.iii., pg. 10	BRC- TTC	Deans, VC- UR, VCR	VC-UR		See bi-monthly newsletters described in #40, above	In progress
165	Recognize positive role of TT&C activities in Tenure and Promotion process (e.g. establish innovation and entrepreneurship activities, such as patents granted and/or licensed, as distinct teaching or outreach service).	6.iv., pg. 10	BRC- TTC	Chancellor, Provost, VP- Academic Personnel, Academic Senate	VP-AP			
166	Establish clear policies for leave of absence and time-off tenure clock for engaging in TT&C activities (similar to other public service opportunities).	6.v., pg. 10	BRC- TTC	VP- Academic Personnel	VP-AP			
167	Initiate strong leadership within the new TT&C office to build trust and engagement within and outside UCD.	6.vi., pg. 10	BRC- TTC	VCR	VCR	IA	New AVC hired for IA and Corp Relations. <i>See Huron IA OSL 6 [#246].</i>	Completed
168	Adopt clear guidelines for when and how TLO can waive ownership (or disclaim) and increase ability and propensity when appropriate.	6.vii., pg. 10	BRC- TTC	VCR	VCR	IA	UC policy has well-established criteria for non-assert of ownership and release of UC-owned inventions. Release is prohibited by federal law for federally funded inventions. Release as recommended in BRTTC report would require new state and federal laws to be enacted. Huron IA report does not support this. Four years ago IA established and published policy for release of eligible inventions. In 2011 IA sent advisory letter to all Deans and VCs as a reminder of this policy.	Implemented alternate strategy
169	Assign ombuds responsibilities for addressing issues involving TT&C and inventors.	6.viii., pg. 10	BRC- TTC	VCR	VCR	IA	The newly hired VCR, EAVC and AVCs in OR provide assistance to inventor stakeholders.	Completed
170	Support researchers who choose to engage in TT&C efforts outside of TLO and IRA by: Connecting researchers with industry, entrepreneurs, investors, grant writing support etc, through technology transfer & commercialization as well as networks of other centers on campus (e.g., Center for Entrepreneurship and Development Office) (per Huron, aligned with #256: Develop an entrepreneur-in-residence program; and #257: Partner to develop an incubator.)	6.ix.a., pg. 10	BRC- TTC	VCR	VCR	OCR, IA	UC policy does not permit researchers to independently conduct tech transfer activities (patenting and licensing) outside of TLO. However, IA is dedicated to helping UC researcher connect with other resources to assist them with development of research programs. IA has been instrumental in supporting the GSM, establishing the COE incubator, Board membership on SARTA. IA will assist EIR program if campus management establishes EIR. Also Venture Catalyst has 6 new positions approved for FY12/13. See bi-monthly newsletters described in #40, above. <i>See Huron IA 1 [#236], MVS 2 [#243], OSL 3 [#244], P 17 & P 18 [#256 & #257].</i>	Completed

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171	Provide training in pursuit of SBIR/STTR and other funding opportunities.	6.ix.b., pg. 10	BRC-TTC	VCR	VCR	IA, SPO	SBIR/STTR are research agreement subcontracts administered through SPO. IA assists SPO, faculty and companies when requested. IA advises faculty of other grant programs. Venture Catalyst launched and has supported faculty startups in their SBIR applications. OCR has assisted companies working with UCD faculty on STTR applications. <i>See Huron IA P 17 & P 18 [#256 & #257].</i>	Completed and on-going
172	<i>Provide educational and networking opportunities for faculty, staff, and students to develop and demonstrate the commercial value of their inventions. (per Huron, aligned with #243: Develop a strategic communications plan that prioritizes and improves outreach to campus, and creates networking opportunities.)</i>	7, pg. 11	BRC-TTC					
173	Establish a Proof of Concept Center that helps identify appropriate strategies and, through competitive funding of internal grants to demonstrate the value and reduce the risks associated with inherently early-stage university inventions.	7.i., pg. 11	BRC-TTC	VCR	VCR	IA	IA has supported UC POC grant program submissions by UCD faculty during FY 11/12 and FY 10/11. Venture Catalyst has launched the new Science Translation and Innovative Research (STAIR) Grant program. IA was instrumental in helping structure the COE Engineering Technology Translation Center (ETTC) and continues to provide support for this program. Venture Catalyst working with UCOP to establish better systems for supporting ETTC startups.	Completed and on-going
174	Increase collaboration with the Center for Entrepreneurship around existing and new educational and networking programs, such as the business development certificates for science and engineering researchers, Entrepreneurship Academies, Big and Little Bang business competitions, coursework in Innovation and Entrepreneurship, and entrepreneurial mentor networks.	7.ii., pg. 11	BRC-TTC	VCR, Dean - GSM	VCR	OCR	OR currently collaborating with GSM on Innovation, Entrepreneurship & Technology Transfer at UC Davis. New Biomedical Entrepreneurship Academy launched and co-sponsored by OR.	Completed and on-going
175	Establish Davis alumni and affiliate network to better connect researchers with valuable partners across spectrum of TT&C activities.	7.iii., pg. 11	BRC-TTC	VC-UR	VC-UR			
176	Develop a 5- or 10-year campus strategy, plan and budget.	5, pg. 8	WAG	Provost	Provost			
177	Office of Research: Move each of the research organizations (central facilities, ORUs, ORPs, SPRs, etc.) to an operating unit with which it naturally relates. There might very well be a reason for a few of these units to stay in the Office of Research (start-ups, large interdisciplinary research units, remoteness from campus, experimental, pending more insight and clarification), but the day-to-day operation of the majority of them could be placed in one of the operating units.	2.4a, pg. 10	WAG	Chancellor, Provost, VCR, Deans	VCR	IRSI, OVCR, Research Admin	This action is essentially underway with the 5-year reviews of ORU's. Core facilities will also be focus of action in next year. A number of units are likely to be sunsetted and/or moved into schools/colleges.	In progress

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178	Office of Research: Move the Sponsored Programs organization to the Administrative and Resource Management (ARM) organization. The increasing volume of proposal submissions and increasing complexities of the submission process are commensurately increasing the associated administrative workload. ARM is a better place from which to discharge these responsibilities. At the same time, this would reduce the workload in the Office of Research.	2.4b, pg. 10	WAG	Provost, VCR, VC- ARM	VCR	OVCR, Research Admin	Reorganized OR structure and hired new leadership	Implemented alternate strategy
179	Office of Research: For budget rankings of schools and departments, there is no value in holding and counting federal grant support in the OVCR. The lead units should get the credit; moreover, the academic units can provide much stronger leadership, with OVCR providing periodic oversight and review.	2.4c, pg. 10	WAG	Chancellor, VCR, Deans	VCR	OVCR, Research Admin	Federal support is no longer counted in the OR for national ranking purposes. All grant and contract awards are reported at the disciplinary home. Some disputes have arisen re: certain ORU-located awards about which school/discipline should be credited. Clearer direction and decisions from Deans on these matters are necessary. Future KC build will incorporate "credit" questions into the proposal submission/routing mechanisms for better capture of Dean and PI agreements relative to where credit should go.	Completed with some dispute resolutions ongoing
180	Office of Administrative and Resource Management: The recent reorganization which combined two administrative units into this new organization presents a golden opportunity to address the issue of efficiency. The review team proposes that the question of organization be addressed first, singling out units that can be combined or eliminating tasks and units that are superfluous. Input from ARM users/customers should be considered in the effort to streamline this vital and far-flung organization. In refining the ARM organization, management might also consider using the services of a consulting firm, particularly one that has done work for other UC universities and is familiar with the requirements the UC system places on campus organizations.	2.5, pg. 11	WAG	Chancellor, VC-ARM	VC-ARM			
181	Positioning of UC Davis	2.6, pg. 11	WAG					

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181	Given that UCD is a comprehensive research university, the imbalance in national standing between the Biological Sciences (as distinct from the medical fields) on one hand and the Physical Sciences and Engineering fields on the other, is stark and separates UCD from its aspirational universities. If UCD aspires to reach the overall rankings of the 20th-30th "Next Rank Group," it will need to create synergies and balance between the biological, life and medical sciences and the physical, computational, engineering, and social sciences fields. An alternative would be for UCD to climb higher by building on its strengths rather than its weaknesses, for the same investment.	2.6a, pg. 15	WAG	Chancellor, Provost, Deans, department chairs	Deans			
182	Also striking is the comparatively low ranking of the SOM relative to those of the "Next Rank" Group of universities with medical schools. SOM is doing well in building its extramural research programs and aims to continue on this path. Increasing competitive research awards from NIH is essential not just for fundraising but also for rankings and image.	2.6b, pg. 15	WAG	Dean-SOM	Dean-SOM			
183	Considering its ranking of 32, College of Engineering's cohort of only two NAE members among full-time active faculty is low and requires considerable improvement . The lack of meaningful connection with industry could account for this low membership.	2.6c, pg. 15	WAG	Dean-- Engineering	Dean-- Engineering			
184	Two of UCD's outstanding programs, College of Agricultural and Environmental Sciences and School of Veterinary Medicine, must address the issue of inadequate facilities if they are to maintain their leadership status. Aging faculty present another challenge to CA&ES, and the SVM could benefit from increased synergies with the SOM.	2.6d, pg. 15	WAG	Dean, CA&ES; Dean, Vet Med	Dean, CA&ES; Dean, Vet Med			
185	Reorganization alternatives for the CBS might better leverage its resources and talent in achieving UCD's strategic goals and merit careful consideration.	2.6e, pg. 15	WAG	Provost, Deans	Deans			
186	Branding , and appropriate communications and public relations now and in the future, should receive more attention from UCD's leadership and faculty.	2.6f, pg. 16	WAG	VC-UR	VC-UR		Discussions with Tom Hinds	In Progress
187	Examine the performance of the UCD development staff – for numbers, experience, and end results. High priority must be given to designing inventive programs appropriate for UCD's alumni, regional philanthropists, industrial affiliates, and national foundations interested in the six research opportunities listed above, for which UCD has distinctive strength. Some universities have been successful in attracting Endowed Chairs as a tool to compete for star-level faculty.	2.6.1, pg. 16	WAG	VC-UR	VC-UR			

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188	At a time of new priorities for funding agencies, UCD needs to follow closely funding opportunities as they arise almost on a daily basis. Monitoring www.grants.gov is an effective way to accomplish this.	2.6.2, pg. 17	WAG	VCR	VCR	IRS, Research Admin	OR monitors funding opportunities, which are published on the OR website and shared through a Weekly Research Funding Update – which faculty voluntarily sign up for.	Completed and on-going
189	Explore opportunities for creative use of the large campus area or adjacent areas to campus for appropriate commercial development, as Stanford has done, and as is proceeding on the Sacramento Campus.	2.6.3, pg. 17	WAG	VC-ARM	VC-ARM			
190	Establish programs attractive to students and compete better with other UC universities to increase enrollment and student quality. Hopefully undergraduate enrollment increases will lead to more FTEs from the UC System.	2.6.4, pg. 17	WAG	VC-Student Affairs, Academic Senate, Deans				
191	Other universities have raised enough funds from a relatively small tuition increase to create up to 300 new faculty positions. The review team appreciates that UCD is not a free agent in raising tuition and incomes are impaired currently, but it should explain to legislators, students, parents, and the general public that the value of a UCD degree will increase with such investments.	2.6.5, pg. 17	WAG	VC-UR	VC-UR			
192	College of Letters and Science: For UCD to rise in ranking from 36 in the U.S. (ARWU39 criteria) to the level of 20th to 30th—“Next Ranked” institutions like Michigan, UNC Chapel Hill, Duke, or Minnesota, science and social sciences will have to be resourced to improve. The know-how and motivation to improve exist. Unfortunately, the support has historically not been available to do so.	3.1, pg. 23	WAG					
193	Division of Math and Physical Sciences: The review team believes that the performance of the Division of MPS will be a major determinant in how the higher education community views the College and hence UCD. The departments of the Division have the know-how and ambition to rise in national ranking, but not the resources. Unfortunately, a case can be made that the Division has been historically underfunded and held back – that it may have been viewed as a service Department to other units rather than one that both teaches and engages deeply in research, as is typical for a top research university.	3.1a, pg. 20	WAG					

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194	<p>Division of Social Sciences: The Division of Social Sciences is unorthodox in several ways: Its growing strength in the cognitive neurosciences; the success and distinctiveness of the Center for Mind and Brain; a strong portfolio of empirical case studies in its Science and Technology Studies Program; its Center for Innovation Studies; and its multiple linkages across the campus. The well known adage that “pioneers are the ones with arrows in their backs” may be appropriate here, meaning it will be watched by competitors, funding agencies and foundations to see if social science is being redefined creatively by UCD, or if its organizational structure at UCD is injudicious. The review team would guess that in the short term it is the latter and in the long term the former.</p>	3.1b, pg. 22	WAG					
195	<p>Division of Humanities, Arts and Cultural Studies: Importantly, over the past decade the Division has emerged from a service unit to a Research I Humanities Division, quite appropriate for a nationally visible research university. While the humanities PhD programs are not as comprehensive as that of many other universities, the Division may well be competitive with UCSD and UCSB, as it claims. Its academic portfolio is certainly rich and broad enough to enable UCD to qualify as a “liberal arts and science” research university, one that deepens the education for students in the other UCD colleges, offers a more comprehensive curriculum to undergraduate majors, and contributes to the university’s national image through graduate education and research. Its faculty is still a relatively young one, 62% hired since 2000. The Division has progressed and improved steadily over these years, following a unique style of its own. Unfortunately, along with other humanities divisions in the UC system, it has suffered disproportionately in California’s fiscal crisis.</p>	3.1c, pg. 23	WAG					
196	<p>College of Engineering</p>	3.2, pg. 24	WAG					
196	<p>As in the rest of the University, the absence of meaningful connection to and with industry is a deficiency that requires the management’s focus and action. While there is some indication of an increasing connection with industry, the College has a long way to go in achieving a satisfactory relationship. One should think of an industry day (as it is done in other universities) to exhibit the results of the College in its many research areas. The invitees should be national and international enterprises, not just local industry.</p>	3.2a, pg. 24	WAG					

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197	A comment on the sources of engineering's research expenditures is also needed. With funding from the state being close to 25% and the uncertainty of this funding's continuance, the College needs to turn more to federal funding , especially from NIH, NSF, DOE, DHS, DOD, and the intelligence agencies. Many of the existing UCD programs and plans for new ones are attractive to these particular agencies.	3.2b, pg. 25	WAG					
198	External recognition through membership in the NAE is not commensurate with other UC universities or with the accomplishments of the College.	3.2c, pg. 25	WAG					
199	School of Medicine	3.3, pg. 28	WAG					
199	Strategic Plan: Continue to build upon the excellent strategic plan, capital plan, metrics, and dashboard utilized by the SOM and UCDHS to create synergies across educational, research, and clinical service missions and to try to move up in national rankings.	3.3.1, pg. 35	WAG					
200	Information Technology: Build on the IT strategic plan , the Center for Health and Technology, the state-wide TeleHealth Network, and the opportunities for a leading role of UCD in UC information technology and informatics domains with federal, state, and philanthropic funding. Establish and utilize databases for basic, clinical, and population-based research. Persuade the rest of the UCD campus to utilize a common database (presumably Collexis, already deployed in the SOM) to facilitate finding collaborators for interdisciplinary research proposals and to expedite production of major proposals.	3.3.2, pg. 35	WAG				see Huron project #5, <i>Strategic Plan for Campus Research Administration Systems and Technology Needs</i>	
201	Leverage Faculty Recruitments: Continue with high-profile recruitments of faculty in clinical, as well as basic science, fields, individuals who bring national reputations and substantial research funding with them. Especially strengthen Internal Medicine, which should be the flagship of the clinical departments.	3.3.3, pg. 36	WAG					
202	Enhance Current Large Grant Programs: Focus on successful renewal of the Clinical and Translational Science Center and renewal of the NCI Cancer Center with expansion to comprehensive status. Continue to build ties between SOM and SVM and CA&ES in comparative cancer research.	3.3.4, pg. 36	WAG					
203	Catch up in Human Genome Sciences: Recruit in the SOM, jointly with the Genome Center and CBS if possible, a strong leader in human genomics research and expand related core laboratories. A cluster hire across several schools and colleges would be desirable.	3.3.5, pg. 36	WAG					

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204	Expand Nursing and Public Health: Expand the academic health center with further development of the Betty Irene Moore School of Nursing and of the Population and Public Health Program into a full-blown School of Public Health.	3.3.6, pg. 36	WAG					
205	Enhance Research Support Services with clear targets of increased federal and total R&D funding. Assist the Chancellor and Provost in laying out a clear plan for reaching the \$1 billion per year threshold in R&D funding, including specific goals for SOM, UCDHS, and interdisciplinary developments and programs in which the SOM participates. A critical element is much improved Research Support Services.	3.3.7, pg. 36	WAG					
206	College of Agricultural and Environmental Sciences	3.4, pg. 36	WAG					
206	Develop a coordinated faculty hiring initiative with other campus units to address problems of strategic depth in emerging interdisciplinary research areas, such as bioenergy and global change biology. The hires should be at junior level as well as a select number of high quality mid-career scientists in order to fill the current age gap in the CA&ES faculty.	3.4.1, pg. 40	WAG					
207	Align internal research programs more strongly with emerging USDA-AFRI programs, especially global climate change.	3.4.2, pg. 41	WAG					
208	Build greater strategic depth in vertebrate (specifically mammalian) genomics and bioinformatics with the School of Veterinary Medicine and the School of Medicine.	3.4.3, pg. 41	WAG					
209	Develop a strategic plan for updating animal facilities.	3.4.4, pg. 41	WAG					
210	Coordinate efforts for interdisciplinary pre-doctoral training grants to restore strength in graduate student numbers.	3.4.5, pg. 41	WAG					
211	Develop appropriate infrastructure to support writing and administration of federal and private grants and contracts.	3.4.6, pg. 41	WAG					
212	Create an internal plan for future IT and informatics needs.	3.4.7, pg. 41	WAG					
213	Drive development efforts toward increasing named professorships, start-up funds and graduate student assistantships.	3.4.8, pg. 41	WAG					
213	College of Biological Sciences	3.5, pg. 41	WAG					

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214	The College should consider planning a future reorganization that would strengthen and expand its programs in teaching and research. As major advances in the biological and biomedical sciences will demand scientists with quantitative skills, CBS could benefit greatly by joint programs with MPS. Enhancing the interdisciplinary role of graduate groups and investing in high-priority program project or center grant proposals would be good intermediate steps. An alternative to consider is combining CBS with CA&ES. While the committee understands that this recommendation may be difficult politically, nevertheless, it is in the best interests of UCD to explore alternatives to the current organization as part of its university-wide strategic planning.	3.5.1, pg. 46	WAG					
215	The campus should support a cluster hire program in areas targeted in the CBS Academic Plan (Evolutionary and Comparative Genomics, and Biological Networks/Systems Biology/Integrative Biology) together with human genetics.	3.5.2, pg. 46	WAG					
216	The campus should revitalize plans for expansion of interdisciplinary research space to support emerging strength in neuroscience and other opportunistic areas (bioenergy).	3.5.3, pg. 46	WAG					
217	New incentives should be developed to encourage faculty to increase grant submissions, especially targeting NIH Program Project grants and large center awards. These large grants require a solid base of individual grants for the participating investigators, which UCD has. Such incentives might include direct return of a significant fraction of ICR to the sponsoring center or PIs, salary incentives and named chairs for successful individuals and teams.	3.5.4, pg. 46	WAG					
218	The College should improve its development efforts . With the large number of undergraduate and graduate students that have benefitted from its programs not just since CBS' inception but for several decades in predecessor departments, CBS must launch an aggressive development campaign that will allow it to raise its stature and ranking.	3.5.5, pg. 46	WAG					
219	School of Veterinary Medicine	3.6, pg. 46	WAG					
219	A strategic plan for One Medicine should be developed with SOM. The plan should include stem cell biology, regenerative medicine and genomics/ genetics.	3.6.1, pg. 50	WAG					
220	Merge or better integrate VGL with the Genome Center. This would greatly strengthen both units, improve efficiency and enhance programs in mammalian genomics, which are critical to the success of the emerging initiatives in One Medicine.	3.6.2, pg. 51	WAG					

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221	Develop a strategic plan for Biosecurity and Emerging Pathogens that includes infrastructure, faculty hires, program support, disaster preparedness and outreach. The targets of the plan should be the state legislature and the Governor.	3.6.3, pg. 51	WAG					
222	The school should strengthen efforts to increase its endowment. Given its size and impact, SVM should set a goal of doubling its endowment in 2-3 years.	3.6.4, pg. 51	WAG					
223	Establish a high level committee including SOM faculty to deal with the problem of company-sponsored clinical trials (both human and animal).	3.6.5, pg. 51	WAG					
224	Faculty and Students	3.7, pg. 50	WAG					
224	Faculty: Stress interdisciplinary approaches in key research areas and use interdisciplinary teams to staff programs.	3.7.1, pg. 51	WAG					
225	Students: Consider expanding mentorship training programs for faculty.	3.7.2, pg. 53	WAG					
226	Students: Provide students with more updated information on graduate groups with appropriate metrics.	3.7.3, pg. 53	WAG					
227	Students: Provide for regular review of graduate groups to ensure that they operate properly and fill an important function.	3.7.4, pg. 53	WAG					
228	Interdisciplinary Research		WAG					
228	Leadership from the Chancellor's office is needed to encourage these important new areas of collaboration, so that UCD can realize the promise of such interdisciplinary collaboration. We heard that there was less collaboration between the SOM and CL&S than is needed to take advantage of funding opportunities. Similar statements could be made about lost opportunities between the physical and biological sciences. Perhaps most surprising was the statement that the SOM had little interaction with the Genome Center, since there seems to be a lack of human	4.1a, pg. 54	WAG	Chancellor				
229	If interdisciplinary high-quality research becomes part of the strategic planning process, then this can feed directly into a public relations campaign. Furthermore, the Chancellor needs to speak frequently about "getting beyond your comfort zone," and exerting leadership, since these don't seem part of the core culture.	4.1b, pg. 54	WAG	Chancellor, VC-UR				
230	ORUs, Centers and Institutes		WAG					

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230	The new Energy Institute seemed a little more problematic than some other ORUs/centers reviewed. It does not have a building in which to consolidate all the diverse research and seems a bit more like a “naming convention,” that is a pulling together, under one name, a set of activities that don’t have synergy. This needs to be looked at by UCD more closely given the potential upside of doing it right and given the long history of energy research at Davis.	4.2a, pg. 54	WAG	VCR	VCR	IRSI, Research Admin	Comprehensive strategic planning for Energy Institute has begun with a 2011 Energy workshop. A workshop report was created. Following the resignation of Director in July 2013, a different operational model has been suggested by Interim Director (Professor Dan Sperling), which involves an Executive Director reporting to a Faculty Oversight Committee. The progress of the Institute under this alternative arrangement needs to be evaluated at an opportune time.	In progress
231	From what we were told, a number of these constructs have a continuing fiscal obligation from the campus. We believe it would be useful to have a clear delineation between permanently funded entities and those which would have a finite lifetime with a clear sun setting. Although termination of campus funding can be challenging to these entities, clear sun setting rules encourage entrepreneurship to raise the funds necessary for continuation of the research activities. It also frees up funds from the campus that can be used to start new entities when opportunities arise. We were told that the VCR has closed down 2-3 ORUs, which is perhaps more than other UC campuses, so this is a good precedent which needs to be repeated. (similar to #44)	4.2b, pg. 55	WAG	VCR, VC- ARM	VCR	IRSI, Research Admin	See response to #s 42, 43 and 44 above.	In progress
232	Finally, an important issue for raising the rankings of UCD is that the grants generated by faculty who put their grants through the centers need to be counted in the home departments of the PI and co-PIs. The centers do nothing to raise the rankings, but they can detract from the rankings the department or school would otherwise get. This can be done without double counting if the grant is reported through the appropriate department, but the center gets credit for it as well, but without double counting the dollars.	4.2c, pg. 55	WAG	VCR	VCR	OVCR, IRSI, Research Admin	see response to #179 above - same item	Completed
233	Industry Relations Based on our discussions on the campus and review of background materials, it appears that UCD is a latecomer to establishing a positive relationship with industry. While there are two groups in OVCR concerned with technology transfer, namely “Innovation Access” and “Technology Innovation Alliances,” we did not get the impression that UCD has taken this general subject of intellectual property rights (IPR) and technology transfer (TT) very seriously. The scope of these activities involves extensive and complex issues. It is proper that this function reports to the VCR and not to the Chancellor or other point of contact. It also needs to have close working relations with departments and faculty.	4.3, pg. 55	WAG WAG	VCR	VCR	OCR, IA	This is an observation by WAG that the BRC-TTC recommendation to move IA to the Chancellor's office is unsupported by WAG. This is also supported by the National Academy of Sciences Report on Tech Transfer. IA agrees with WAG and the NAS report.	This is an observation, not a recommendation for IA.
234	Information Technology		WAG					

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234	Because academic research is becoming digital in nearly all disciplines, there is the need for a universal campuswide digital infrastructure . UCD should plan for and build out a separate campuswide cyberinfrastructure to support their data-intensive researchers – let us call it a research cyberinfrastructure (RCI). Once the data-intensive RCI is in place and data can flow freely, interdisciplinary research is much more possible, particularly in the life sciences, which dominate UCD.	4.4, pg. 56-59	WAG	Chancellor, Provost, VP- IET	VP-IET		see Huron project #5, <i>Strategic Plan for Campus Research Administration Systems and Technology Needs</i>	
235	Indirect Cost Recovery (ICR)		WAG					
235	It is important that the Blue Ribbon Committee on Research critique the present allocation scheme , which was implemented in large part in 1999, and offer suggestions for improvement. UCD together with other UC universities should also seek relief from the system cut and take on in return some of the cost burden the system carries for the campus. Local control is more effective and trustworthy than imposed taxes from a higher level.	4.5, pg. 60	WAG	Chancellor, Provost, BRC- R, VCR, VC- ARM		OVCR, Research Admin	The Office of the Provost, in consultation with the OVCR has developed a new budget model that retains some of the ICR centrally for institutional infrastructure, start up packages and equipment cost sharing but pushes more of the ICR received from UCOP and institutional shares out to the colleges where the ICR was generated. Deans will have strategic ability to utilize the funds to support the research mission of faculty and their departments. <i>See response to # 17 above</i>	Completed
236	InnovationAccess		Huron (IA)			IA		
236	Develop a new unit within InnovationAccess called the New Ventures group to enhance the ability of InnovationAccess and UC Davis to start new companies and to create much needed links to business and other users of the developments at UC Davis.	1, pg. 4 & Organization, Structure and Leadership (OSL) 8.1, pg. 11	Huron (IA)	VCR	VCR	TMCR	Venture Catalyst was launched in Summer 2012 as a sister unit to IA and OCR. Staffing / hiring in process.	Completed and on-going
237	Establish a national advisory board to advise UC Davis on best practices and opportunities related to industry partnering and commercialization. (per Huron, aligned with #137: Establish an oversight board for the new office chaired by Provost and comprised of faculty, staff, and external “observers.”)	2, pg. 4 & OSL 7, pg. 11	Huron (IA)	VCR	VCR	TMCR, OVCR	An Innovation and Entrepreneurship Council is being formed to advise the Chancellor on the efforts of Venture Catalyst and the Child Family Institute for Innovation and Entrepreneurship.	In progress
238	Add three IP Officers and three IP Analysts to InnovationAccess to increase staffing to a level that supports the research base at Davis.	3, pg. 4 & OSL 8.4, pg. 12	Huron (IA)	VCR	VCR	OVCR, IA	IA has recruited these positions.	Completed

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239	Seek delegated authority to enter into agreements that are exceptions to UC policy. (per Huron, aligned with #140: Delegate authority to grant particular policy exceptions within the new office and leadership for patenting, licensing, and industry research agreements.)	4, pg. 4 & OSL 5, pg. 11	Huron (IA)	VCR	VCR	IA	IA has delegated authority to negotiate and execute all IP-related agreements; research agreements are within SPO. IA has identified certain delegated authority for policy exceptions and has met with UCOP/JPAC about granting policy exceptions to IA. Approval from UCOP JPAC will require systemwide VCR & Chancellor support from all campuses. EAVC is on UCOP policy taskforce to develop a more decentralized approval/waiver process for agreements with publication and citizenship restrictions. Policy will proceed through review by VCRs, systemwide senate and campus senate reviews prior to adoption.	In progress
240	Develop a strategic plan for data management that addresses the storage and retrieval of data. UC Davis should assess its needs for a comprehensive database and evaluate the commercial options for database platforms. (per Huron, aligned with #146: Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office.)	5, pg. 4 & Process (P) 10, pg. 18	Huron (IA)	VCR	VCR	IA	IA, OCR and Venture Catalyst are working collaboratively with IETS to develop a Sales Force based CRM tool to manage both work flow and stakeholder relationships so as to be more customer oriented and proactive	In progress
241	Create a dashboard of metrics to measure and track the performance of InnovationAccess. The following metrics should be included: a. Invention disclosures received b. Licenses and options completed c. Start-ups initiated d. Percent of patent expenses reimbursed e. External sponsored research per invention disclosure f. External sponsored research per FTE devoted to licensing g. Licenses and options completed per FTE devoted to licensing. (per Huron, aligned with #156: Improve the effectiveness of licensing practices in the following ways: Upgrade methods and metrics for marketing UCD IP, including greater involvement of inventors and others in recognizing potential licensees, in developing more effective communication materials, and in more targeted marketing.)	6, pg. 4 & Metrics 19, pg. 24	Huron (IA)	VCR	VCR	IA	IA has adopted these proposed metrics.	Completed and on-going
242	Mission, Vision & Strategy ["MVS"]: Develop and adopt a revised mission statement for InnovationAccess that better positions it to execute its responsibilities. (statement included) (per Huron, aligned with #129: Establish and communicate clear objectives and priorities for the role of technology transfer and commercialization.)	pg. 7	Huron (IA)					
242		MVS 1, pg. 7	Huron (IA)	VCR	VCR	IA	IA has completed a new mission statement very similar to the Huron recommended statement. The mission statement was sent to the VCR in 2011 and published on the new IA website.	Completed

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243	Develop a strategic communications plan that prioritizes and improves outreach to campus, and creates networking opportunities. (per Huron, aligned with #172: Provide educational and networking opportunities for faculty, staff, and students to develop and demonstrate the commercial value of their inventions.)	MVS 2, pg. 8	Huron (IA)	VCR	VCR	IA	IA completed an MTA customer survey and two semiannual IA customer surveys. OR has launched a monthly newsletter and an OR annual report of all activities. IA has launched a new website with improved content.	Completed and on-going
244	Organization, Structure and Leadership ["OSL"]:	pg. 10	Huron (IA)					
244	Develop a more business development orientation to InnovationAccess activities. (per Huron, aligned with #151: Develop a methodology for managing and communicating how the overall patent portfolio is managed for investment, maintenance, and divestment in the intellectual property assets belonging to the university.)	OSL 3, pgs. 10-11	Huron (IA)	VCR	VCR	IA, OCR	IA has updated all Analyst PDs and obtained new budget to support staff training and conferences.	Completed
245	Conduct an analysis of future licensing opportunities. (per Huron, aligned with #142: Prioritize strategy and structure of new office with a primacy on fostering those long-term relationships with industry that uphold the university's mission.)	OSL 4, pg. 11	Huron (IA)	VCR	VCR	IA	IA Subcommittee determined that this recommendation would require substantial personnel resources not available to IA. IA subcommittee concluded that the value of such an analysis is likely to be low.	Recommendation disregarded
246	Finalize the position description for the position of Associate Vice Chancellor for Tech Management & Corporate Research Relations. Recruitment of this key position should begin as soon as possible. (per Huron, aligned with #134: Create a new office combining InnovationAccess with Industry Research Agreements and reporting into the Office of the Chancellor.)	OSL 6, pg. 11	Huron (IA)	VCR	VCR	OVCR, IA	Recruited and filled position with Dushyant Pathak in April 2012.	Completed
247	Invention marketing which was previously the responsibility of the Business Development unit should be continued by the Life Sciences Team and the Agricultural, Physical Sciences and Copyright Team.	OSL 8.2, pgs. 11-12	Huron (IA)	VCR	VCR	IA	IA has reorganized MTA team and is actively recruiting an IP Marketing Analyst. OCR is working closely with academic unit development officers and associate deans to facilitate more effective industry engagement.	Completed and on-going
248	Responsibility for material transfer agreements should be transferred to the Life Sciences Team, with two IP Analysts assigned to this function.	OSL 8.3, pg. 12	Huron (IA)	VCR	VCR	IA	MTA team reorganized under Sr IPO, not under Life Sciences.	Implemented alternate strategy
249	An administrative position should be hired to assist the IP Analysts in routine administrative tasks (per Huron, aligned with #146: Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office.)	OSL 8.5, pg. 12 & P 9, pg. 18	Huron (IA)	VCR	VCR	IA	Admin Asst. position recruited.	Completed
250	Process ["P"]:	Pg. 18	Huron (IA)					
250	Reestablish access to Sponsored Projects database. (per Huron, aligned with #146: Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office.)	P 11, pg. 18	Huron (IA)	VCR	VCR	IA, SPO	IA will have access to SPO database once Quali Coeus is implemented. IA created a new SPO Liaison to facilitate assistance with IP issues in Industry Research Agreements. IA has two IPOs on new SPO Negotiation Team for SRAs.	Completed and on-going

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251	Clarify decision-making for new cases. (per Huron, aligned with #129: Establish and communicate clear objectives and priorities for the role of technology transfer and commercialization.)	P 12, pg. 19	Huron (IA)	VCR	VCR	IA	IA adopted new nomenclature recommended by Huron; updated decision tree for patent/marketing decisions.	Completed and on-going
252	Initiate a preliminary, scientific review of MTAs. (per Huron, aligned with #146: Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office.)	P 13, pg. 19	Huron (IA)	VCR	VCR	IA	IA Subcommittee determined that single person triage for MTAs is not efficient or effective; as alternative, IA has created a dedicated MTA IPO to handle complex/problematic MTAs.	Completed
253	Enable department administrators and PIs to initiate MTAs. (per Huron, aligned with #153: Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office.)	P 14, pg. 19	Huron (IA)	VCR	VCR	IA	IA Subcommittee determined that campus units do not have funds to have their own MTA staff or to pay for staff training. IA has created several web-based electronic/shrink wrap MTAs to assist campus units. Over 5k MTAs processed through this new process last fiscal year. IA has reorganized MTA team under Senior IPO to be more efficient.	Completed
254	Enable more web-based MTAs. (per Huron, aligned with #146: Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office.)	P 15, pg. 19	Huron (IA)	VCR	VCR	IA	IA MTA team has established web-based & shrink wrap MTAs for campus repositories. UCD is the first campus in the UC system to develop such an MTA program. Over 5k MTAs processed through this new program last fiscal year.	Completed
255	Conduct a thorough analysis of current workloads and assign cases into categories that reflect status and need for action. (per Huron, aligned with #146: Establish standards for transparency, timeliness, and accountability of patenting, licensing, and processing industry research agreement practices within the new office.)	P 16, pg. 19	Huron (IA)	VCR	VCR	IA	Seven new positions recruited for IA this year. Six additional positions to be recruited. Workload analyzed for redistribution as new hires arrive.	Completed
256	Develop an entrepreneur-in-residence program. (per Huron, aligned with #170: Support researchers who choose to engage in TT&C efforts outside of TLO and IRA by: Connecting researchers with industry, entrepreneurs, investors, grant writing support etc, through technology transfer & commercialization as well as networks of other centers on campus (e.g., Center for Entrepreneurship and Development Office))	P 17, pg. 19	Huron (IA)	VCR, Dean-GSM	VCR	TMCR	Venture Catalyst is developing and maintaining a technology-focused MentorNet™ stratified by discipline.	In progress
257	Partner to develop an incubator. Incubator space is essential for the development of early-stage companies. (per Huron, aligned with #170: Support researchers who choose to engage in TT&C efforts outside of TLO and IRA by: Connecting researchers with industry, entrepreneurs, investors, grant writing support etc, through technology transfer & commercialization as well as networks of other centers on campus (e.g., Center for Entrepreneurship and Development Office))	P 18, pg. 20	Huron (IA)	VCR	VCR	OCR, IA	In 2010 IA provided substantial assistance to COE to establish first-ever on-campus incubator. IA continues to be very active in assisting COE. This pilot program can be easily adapted for other colleges if interested.	Completed

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258	Interdisciplinary Research Support (IRS)	Pg. 31	Huron (Pre- Post)			IRS		
258	Update the organizational structure with two primary teams to enable proactive outreach to the research community, collaboration with SPO, and expanded service offerings.	Organizational Structure (OS) 1, pg. 31	Huron (Pre- Post)	VCR	VCR	IRS	IRS: Determined this recommendation from Huron does not accurately reflect the needs of IRS or the research community	Recommendation disregarded
259	Consider implementing a revised structure for each team: Director over 2 divisions - 1. Communication and Data Support Team with Proposal Coordinators & Database Manager; 2. Proposal Development Team with Senior Budget Analyst, Budget Analyst Editor, Senior Editor, Grant Writers/Editors, Limited Submissions Analyst	OS 2, pg. 32	Huron (Pre- Post)	VCR	VCR	IRS	Determined this recommendation from Huron does not accurately reflect the needs of IRS or the research community; however, we did add an FTE for funding opportunities and limited submissions (team 1) and are expanding the "base" IRS team (team 2)	Implemented alternate strategy
260	Network with other institutions with inter and multidisciplinary research support models to gather best practices and methods of successful integration with various offices and campus.	OS 3, pg. 34	Huron (Pre- Post)	VCR	VCR	IRS	Participate in quarterly UC-wide research development teleconferences, attend annual national organization meetings; AVC also attends these meetings so there is buy-in at upper levels of OR. Regular meetings with funding agencies on campus and in Washington DC on-going on a quarterly basis.	Completed and on-going
261	Expand services to include monitoring of funding opportunities for researchers, including graduate/undergraduate training opportunities and academic preparation programs.	OS 4, pg. 34	Huron (Pre- Post)	VCR	VCR	IRS	IRS: Hired FTE for funding opportunities and limited submissions. Offered several workshops on funding opportunity identification	Completed and on-going
262	Add 2 positions to the IRS team to build upon the efforts in place as well as increase the ability to reach more customers within the Davis research community. (later in the report, they suggest adding five positions to the IRS team to build upon the efforts in place as well as increase the ability to reach more customers within the Davis research community.)	Organization Structure and People (OSP) 5, pg. 15 & People (P) 1, pg.49	Huron (Pre- Post)	Provost, VCR	VCR	OVCR, IRS	Positions have been created and recruited including a training grant specialist within IRS. Assessed right-sizing of unit; 1) funding opportunity/LS coordinator added in 6/11, 2) PhD-level editorial coordinator added in 9/11, 3) training grant coordinator added in 4/12	Completed
263	IRS should develop a marketing and outreach plan	P 7, pg. 56	Huron (Pre- Post)	VCR	VCR	IRS	Formal target of at least 5 information events per year has been instigated, (e.g Faculty Brown Bag series with Academic Affairs). Additional team members added to IRS to further diversify services and extend bandwidth to handle more proposals. Increase in proposals supported has increased over last 2 years. Also will work with OR-wide communication specialist position currently in recruitment to develop a more detailed plan.	Completed
264	Assign a SPO resource to the IRS proposal team when a client is identified and to provide support during the proposal process.	Business Process (BP) 2, pg. 16 & BP 3, pg. 64	Huron (Pre- Post)	VCR	VCR	IRS, SPO	IRS: IRS financial analyst now has SPO review authority, but not submit authority, to reduce redundancy while ensuring checks and balances. SPO: With concurrence of IRS, we have designated proposal Team Leaders as the point of contact with members of IRS.	Completed
265	Sponsored Programs	Pg. 35	Huron (Pre- Post)			SPO		

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265	Update the SPO organization structure into three teams (Customer Support Team, Communication and Education Team, and Operations Support Team) and assign the Customer Support Team personnel to specific research departments to provide more dedicated and consistent service to the researchers.	OSP 1, pg. 15 & Org Structure (OS) 1, pg. 36	Huron (Pre- Post)	VCR	VCR	SPO	Using SPO C&G Tracking system, management can now review workload patterns and projections. This has resulted in data to support increased staffing levels to reduce turnaround time for awards. EAVC adopted a modified model including a third team which will be responsible for all projects requiring detailed negotiations with the sponsors. This is expected to be more efficient, and more responsive to the campus expectations.	Completed
266	Consider implementing the following structure for each team: Exec Director over 2 teams - 1. Customer Support Team with Assoc. Director over 4 teams comprised of Supervisor, Proposal Analysts, Awards Analysts, Subaward Analysts; 2. Operations Team with Assoc. Director over A. Communications & Education - Training Officer, Training Analyst & Admin Asst.; B. Operations Support - ERA Project Manager, Quali Functional Representative, Admin. Manager & Admin Assts.	OS 2, pg. 37	Huron (Pre- Post)	VCR	VCR	SPO	EAVC adopted a modified model including a third team which will be responsible for all projects requiring detailed negotiations with the sponsors. This is expected to be more efficient, and more responsive to the campus expectations.	Completed
267	Add 5 positions within SPO to enable it to better meet the needs of the researchers but additional positions may be necessary based on benchmark data and the Davis' growth plans. (later in report, they suggest adding seven total positions to the SPO to align FTE totals closer to industry averages - five positions to the SPO Customer Support Team and two positions to SPO Communications and Education Team)	OSP 6, pg. 15 & P 1, pg. 50	Huron (Pre- Post)	Provost, VCR	VCR	OVCR, SPO	Positions added to SPO.	Completed
268	Expand the current delegation of authority levels within SPO.	BP 1, pg. 16	Huron (Pre- Post)	VCR	VCR	OVCR, Research Admin, SPO	Delegation levels expanded to \$10 million for Director, \$5 million for Assoc. Directors and \$3 million for team leaders. Other actions (no cost extensions, budget adjustments, etc.) delegated to analyst levels	Completed
269	Expand the use of the contract negotiation guide within SPO to allow for more consistent review and processing of like contracts.	BP 3, pg. 16	Huron (Pre- Post)	VCR	VCR	SPO	Added the information to the SPO Shared Drive, and made it available to all members of SPO.	Completed
270	Proactively monitor awards to manage SPO closeout responsibilities.	BP 1, pg. 83	Huron (Pre- Post)	VCR	VCR	SPO	Temporary employee has been assigned full time to this effort.	Completed and on-going
271	Extramural Funds Accounting		Huron (Pre- Post)					
271	Update the organization structure with three primary teams: Customer Support Team; Compliance & Education; and, Cash Management Team (same as #273)	OS 1, pg. 40	Huron (Pre- Post)	VC-ARM	VC-ARM	Extramural Funds Accounting (EFA)		
272	Create Customer Support Teams in EFA with department assignments consistent with SPO	OSP 2, pg. 15	Huron (Pre- Post)	VC-ARM, VCR	VC-ARM			

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273	Consider implementing the following structure for each team : Exec Director over 3 teams - 1. Customer Support Team with Assoc. Director over 4 teams comprised of Supervisor & Customer Support Analysts; 2. Assoc. Director over Compliance & Education Team with Compliance & Training Supervisor, Training Analyst & Admin. Asst; 3. Same Assoc. Director over Cash Management Team with Gifts & Cash Management Supervisor, Gifts/Cash Management Analysts, Admin. Assts. Both Team 2 & 3 are supported by a Systems Analyst. <i>(same as #271)</i>	OS 1, pg. 41	Huron (Pre- Post)	VC-ARM	VC-ARM	Extramural Funds Accounting (EFA)		
274	Add 6 positions within EFA to enable it to better meet the needs of the researchers but additional positions may be necessary based on benchmark data and the Davis' plans. (later in report, they suggest adding 15 positions to EFA to align FTE closer to industry averages)	OSP 7, pg. 15 & People (P) 1, pg. 52	Huron (Pre- Post)	Provost, VC- ARM	VC-ARM			
275	Develop a formal closeout policy and procedure guide, which clearly defines roles and responsibilities.	BP 1, pg. 81	Huron (Pre- Post)	VC-ARM	VC-ARM			
276	Create a closing memo template to be submitted to departments at the time of closeout notification.	BP 2, pg. 81	Huron (Pre- Post)	VC-ARM	VC-ARM			
277	Develop a business process to allow EFA to automatically transfer overdrafts to a designated departmental account.	BP 3, pg. 82	Huron (Pre- Post)	VC-ARM	VC-ARM			
278	Evaluate EFA's ability to write-off small balances on expired awards.	BP 4, pg. 82	Huron (Pre- Post)	VC-ARM	VC-ARM			
279	Organization Structure and People ["OSP"]	pg. 15	Huron (Pre- Post)					
279	Assemble a research administration leadership committee with the responsibility to provide more cohesive pre-award and post-award services.	OSP 3, pg. 15	Huron (Pre- Post)	VCR, VC- ARM	VCR	Research Admin	Directors, Managers and Supervisors (Dermasup) meeting established with quarterly meetings. Senior Managers meet monthly. Faculty senate representatives from COR are invited to attend Senior Managers meeting.	Completed
280	Conduct a comprehensive review of roles and responsibilities for research administration and develop a roles and responsibilities matrix.	OSP 4, pg. 15	Huron (Pre- Post)	VCR, VC- ARM	VCR	Research Admin	Compliance Guide (reviewed by faculty senate) with roles and responsibilities prepared for faculty and staff. More detailed roles within offices to be developed in the future. (Note: roles and responsibilities sections of the guide were required to be eliminated by the faculty senate).	In progress
281	Business Processes ["BP"]	pg. 16	Huron (Pre- Post)					

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281	Create a campus cost sharing policy to address what the institution will allow and to formalize current guidance. (similar to #299)	BP 4, pg. 16	Huron (Pre-Post)	VCR, Deans, Provost	VCR	OVCR, Research Admin	ACCD (Administrative Coordinating Council of Deans) is currently finalizing an updated cost-share policy. See response to #17: The Office of the Provost, in consultation with the OVCR has developed a new budget model that retains some of the ICR centrally for institutional infrastructure, start up packages and equipment cost sharing but pushes more of the ICR received from UCOP and institutional shares out to the colleges where the ICR was generated. Deans will have strategic ability to utilize the funds to support the research mission of faculty and their departments.	Completed and on-going
282	Determine mechanisms to increase use of advance accounts, e.g. at progress report submission, when negotiating a sub-award, etc.	BP 5, pg. 16	Huron (Pre-Post)	VCR	VCR	SPO, Research Admin	Internal audit questioning use of Advance Accounts - Standard practice for SPO and IA	Completed
283	Increase the number of draws completed for LOC awards. (same as #316)	BP 6, pg. 16	Huron (Pre-Post)	VC-ARM	VC-ARM	EFA		
284	Seek opportunities to promote use of fewer standard invoicing format with sponsors. (same as #318)	BP 7, pg. 16	Huron (Pre-Post)	VC-ARM	VC-ARM	EFA		
285	Develop a plan to address the current backlog of past due invoices. (same as #321)	BP 8, pg. 16	Huron (Pre-Post)	VC-ARM	VC-ARM	EFA		
286	Develop, complete or update policies and procedures for research administration business processes.	BP 1, pg. 61	Huron (Pre-Post)	VCR, VC-ARM	VCR	Research Admin		Completed and on-going
287	Enforce the use of standard operating procedures for central offices as well as the research community.	BP 2, pg. 61	Huron (Pre-Post)	VCR, VC-ARM	VCR	Research Admin		Completed and on-going
288	Create standard tracking worksheets.	BP 3, pg. 62	Huron (Pre-Post)	VCR, VC-ARM	VCR	Research Admin, SPO	Datasheet available online	Completed
289	Expand the current delegation of authority levels. (Update the current delegated authority levels as staff are realigned into proposed teams.)	BP 4, pg. 62 & BP 2, pg. 64	Huron (Pre-Post)	VCR	VCR	OVCR, Research Admin	See response to recommendation # 268	Completed
290	Business Processes - Proposal Review and Submission		Huron (Pre-Post)					
290	Communicate with departments/PIs prior to standard proposal deadlines.	BP 1, pg. 63	Huron (Pre-Post)	VCR	VCR	SPO, Research Admin	Reviewing ways to optimize meeting this goal. Adopted PIVOT and a weekly newsletter out of IRS identifying funding opportunities as they arise. Remaining question is how to identify who are on the newsletter listserves and how to keep PIs engaged and using the tools provided.	Completed and on-going

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291	Provide additional local level training regarding proposal preparation. (similar to #269)	BP 4, pg. 65	Huron (Pre- Post)	VCR	VCR	SPO, Research Admin	SPO: Launched campus training programs. See response to #10.	Completed and on-going
291						SPO, Research Admin	Created a series of 4 presentations regarding the new NSF research data management requirements. Presentations will be available on the OR website.	Completed
292	Develop tools to assist department administrators and PIs develop and review proposals.	BP 5, pg. 65	Huron (Pre- Post)	VCR	VCR	IRS, Research Admin, SPO	IRS: Financial analyst has developed several budget templates that she regularly shares with departments. Process is on-going with continual improvement and distribution. SPO: Website has been updated to include various proposal preparation documents and tools.	Completed and on-going
293	Business Processes - Contract Review, Negotiation and Approval		Huron (Pre- Post)					
293	Create a comprehensive policy and procedural guide.	BP 1, pg. 66	Huron (Pre- Post)	VCR	VCR	SPO	Tools and hands-on training for new negotiation team completed. Training is on-going as new individuals join the team. OR website also includes a compilation of relevant policies and procedures for reference by the campus community	Completed
294	Continue to collaborate with various contracting offices at other UC schools and with UCOP on negotiated terms.	BP 2, pg. 66	Huron (Pre- Post)	VCR	VCR	SPO, Research Admin	Actively participating in systemwide semi-annual Contracts And Grants Officers' meetings, Sponsored Programs Directors' Monthly teleconferences, systemwide list serves, etc.	Completed and on-going
295	Share contract negotiation guide prepared by Team B with all SPO analysts.	BP 3, pg. 67	Huron (Pre- Post)	VCR	VCR	SPO	Enhanced materials and negotiation boot-camp for all analysts conducted in 2012 and updated training shared in 2014.	Completed
296	Business Processes - Outgoing Subaward Preparation, Negotiation and Approval		Huron (Pre- Post)					
296	Move responsibility for approving subcontracts to SPO Team leads.	BP 1, pg. 68	Huron (Pre- Post)	VCR	VCR	SPO	Delegated signature authority to Team Leaders and high level Analysts.	Completed
297	Develop a communication methodology to keep departments/Pis informed of the status of subcontracts.	BP 2, pg. 68	Huron (Pre- Post)	VCR	VCR	SPO	Contracts and Grants (C&G) tracking system includes periodic communications to PIs and Departments. Add'l training provided to SPO staff. Created subaward team in February 2014 to address backlog and FFATA reporting on subawards.	Completed
298	Develop a policy and accompanying procedures for subawards.	BP 3, pg. 68	Huron (Pre- Post)	VCR	VCR	SPO	Developed standardized templates, provided staff training and posted via shared drive	Completed
299	Business Processes - Cost Sharing		Huron (Pre- Post)					
299	Create a campus Cost Sharing policy. (similar to #281)	BP 1, pg. 69	Huron (Pre- Post)	VCR	VCR	OVCR, Research Admin	Created Cost share form for OVCR cost share request. ACCD (Administrative Coordinating Council of Deans) has updated its cost-share guidelines	Completed and on-going

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300	Develop a communication plan informing central administration and campus NSF no longer allows voluntary-committed cost sharing.	BP 2, pg. 69	Huron (Pre- Post)	VCR	VCR	Research Admin, IRS, SPO	Communication Complete. IRS team provides this advice on every applicable proposal and makes recommendations for dealing with this requirement.	Completed
301	Enhance the DataSheet completed by Departments/PI's to address Cost Sharing component.	BP 3, pg. 69	Huron (Pre- Post)	VCR	VCR	Research Admin, OVCR		Completed
302	Business Processes - Account Setup and Review		Huron (Pre- Post)					
302	Eliminate the system generated notification from C&G sent upon receipt of the award.	BP 1, pg. 70	Huron (Pre- Post)	VCR	VCR	SPO	Reviewed the recommendation, and based upon campus request, it was determined that it was in the best interest of majority of the researchers to leave as is. This is because we have been asked by numerous researchers to let them know promptly when an award is received.	Recommendation disregarded
303	Create a report to validate critical account set-up attributes captured on the data sheet.	BP 2, pg. 70	Huron (Pre- Post)	VCR	VCR	SPO, Research Admin	Reports will be implemented in KC rollout with KS integration	In progress
304	Business Processes - Subrecipient Monitoring		Huron (Pre- Post)					
304	Develop a checklist to be used by subcontract analysts.	BP 1, pg. 71	Huron (Pre- Post)	VCR	VCR	SPO		Completed
305	Improve the technology used to store and track subrecipient monitoring data.	BP 2, pg. 71	Huron (Pre- Post)	VCR	VCR	SPO		Completed
306	Develop standard procedures to enhance the subrecipient monitoring process.	BP 3, pg. 72	Huron (Pre- Post)	VCR	VCR	SPO		Completed
307	Business Processes - Advance Accounts		Huron (Pre- Post)					
307	Define the "firm commitment" requirement for the use and acceptance of advance accounts and proactively identify opportunities for the greater use of these accounts.	BP 1, pg. 73	Huron (Pre- Post)	VCR	VCR	SPO, Research Admin	Definition is included on the form which is used to seek establishment of an Advance Account.	Completed
308	Move responsibility of approving advance accounts from the SPO Executive Director to the SPO Team Leads.	BP 2, pg. 73	Huron (Pre- Post)	VCR	VCR	SPO	No change to the process is needed as no value would be added to the process by such a change.	Recommendation disregarded
309	Create an electronic advance account request form including allowing electronic signatures.	BP 3, pg. 73	Huron (Pre- Post)	VCR	VCR	SPO, Research Admin	Forms are accepted in electronic format - email, pdf, etc.	Completed
310	Business Processes - Charging of Expenses to Grants		Huron (Pre- Post)					

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310	Monthly queries should be run for object codes associated with certain expenditures (Utilities and Phone, Repair and Maintenance, etc.) usually not approved for direct charging purposes as a means for catching any possible unauthorized spending.	BP 1, pg. 74	Huron (Pre- Post)	VC-ARM	VC-ARM			
311	Consider sending notifications to PIs when budget categories are close to being fully expended.	BP 2, pg. 74	Huron (Pre- Post)	VC-ARM	VC-ARM			
312	Track and enforce the monthly review of fund expenditures by PIs and provide better tools to expedite the review.	BP 3, pg. 75	Huron (Pre- Post)	VC-ARM	VC-ARM			
313	Define a policy and procedure document for both internal and external constituent purposes.	BP 4, pg. 75	Huron (Pre- Post)	VC-ARM	VC-ARM			
314	Business Processes - Cost Transfers		Huron (Pre- Post)					
314	Build query reports to identify units processing the majority of cost transfers and provide more targeted training and guidance.	BP 1, pg. 76	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
315	Update the policy and procedure to address any changes as well as the following: The policy should explicitly state all individuals that must approve the request in order to transfer the charge. Late cost transfers should be addressed.	BP 2, pg. 76	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
316	Business Processes - LOC Draw		Huron (Pre- Post)					
316	Increase the number of draws completed for LOC accounts. (same as #283)	BP 1, pg. 77	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
317	Business Processes - Invoicing		Huron (Pre- Post)					
317	Capture invoicing deadlines by date within the OP Fund reporting database for any cost reimbursable and/or scheduled pay awards.	BP 1, pg. 78	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
318	Seek opportunities to promote the use of fewer standard invoicing formats with sponsors. (same as #284)	BP 2, pg. 78	Huron (Pre- Post)	VCR, VC- ARM	VC-ARM	EFA		
319	Develop a tool to assist in creating electronic invoices as a short term solution.	BP 3, pg. 79	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		

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320	Eliminate the review by upper management for interim invoices.	BP 4, pg. 79	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
321	Develop a plan to address the current backlog of past due invoices. (same as #285)	BP 5, pg. 79	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
322	Business Processes - Financial Reporting to Sponsors		Huron (Pre- Post)					
322	As with invoices, capture reporting deadlines by date within the OP Fund reporting database.	BP 1, pg. 80	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
323	Reduce the number of review points for interim financial reports.	BP 2, pg. 80	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
324	Business Processes - Accounts Receivable		Huron (Pre- Post)					
324	Triage past due accounts receivable items in order to expedite the collection of funds.	BP 1, pg. 84	Huron (Pre- Post)	VC-ARM	VC-ARM			
325	Assess the ability to write-off small balances on short paid invoices.	BP 2, pg. 84	Huron (Pre- Post)	VC-ARM	VC-ARM			
326	Seek ways to further utilize the lockbox to decrease the number of manual checks still processed.	BP 3, pg. 85	Huron (Pre- Post)	VC-ARM	VC-ARM			
327	Business Processes - Effort Reporting		Huron (Pre- Post)					
327	Initiate required training for PIs and or Effort Reporting Coordinators.	BP 1, pg. 86	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
328	Provide detailed training as it relates to the roll-out of the Labor and Distribution module and its impacts on effort reporting.	BP 2, pg. 86	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
329	Include Effort commitments on the effort report itself for a comparison basis.	BP 3, pg. 86	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		
330	Develop a procedural guide to assist the academic community with the review and completion of effort reports.	BP 4, pg. 87	Huron (Pre- Post)	VC-ARM	VC-ARM	EFA		

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331	Business Processes - Reporting to Academic Departments		Huron (Pre- Post)					
331	Consider building a web based PI Portal. (similar to #354)	BP 1, pg. 88	Huron (Pre- Post)	VCR	VCR	Research Admin	Revised web site to improve usability and provide PI tools such as checklists and information regarding proposal and award process.	Completed and on-going
332	Provide a monthly dashboard report to the PIs.	BP 2, pg. 88	Huron (Pre- Post)	VCR	VCR	Research Admin	KC implementation will allow greater possibility of such dashboard reports.	Future
333	Kuali Coeus ["KC"] Implementation		Huron (Pre- Post)					
333	Additional resources, both functional and technical, should be dedicated to the planning and implementation of Kuali Coeus.	Tech & Perf Metrics (TPS) 2, pg. 17	Huron (Pre- Post)	VCR	VCR	Research Admin	Additional Resources have been added	Completed
334	Require the project team to use the workplan as a tool to guide meetings, define tasks for completion and outline deliverables.	KC a, pg. 107	Huron (Pre- Post)	VCR	VCR	Research Admin	Obtained external review of project status in November 2013. OR assumed control over IT KC project from ARM and is working toward full workplan since the Weekly meetings with SPRINT User Acceptance Testing (UAT) documentation failed to deliver a completed project.	In progress
335	Ensure changes to the project scope are documented, justified and presented to leadership and the steering committee for review and approval.	KC b, pg. 107	Huron (Pre- Post)	VCR	VCR	Research Admin	UAT process in place	Completed
336	As the nature of the implementation cycle is dynamic, requiring greater dedication from central and campus resources at certain times, leadership and project managers should develop a plan to determine how to manage competing priorities across the campus and central office.	KC c, pg. 108	Huron (Pre- Post)	VCR	VCR	Research Admin	On-going as priorities shift. Sponsor meetings and campus-wide KC meetings provide support to this decision making	In progress
337	Create a forum for researchers and department administrators to view key components of the system and develop a methodology for addressing their concerns.	KC d, pg. 109	Huron (Pre- Post)	VCR	VCR	Research Admin	Working with ADMAN to demo system and obtain feedback - need to routinize the meetings	In progress
338	Develop a communication plan to keep the campus community abreast of the project's progress, expectations, and training requirements.	KC e, pg. 109	Huron (Pre- Post)	VCR	VCR	Research Admin	In the works. Not yet complete.	In progress
339	Develop a testing plan which encompasses central administrators and researchers/departmental staff.	KC f, pg. 110	Huron (Pre- Post)	VCR	VCR	Research Admin	Not yet ready for department testing but SPO testing under way	In progress
340	Define super-users and training resources who will also prepare materials to be disbursed to campus.	KC g, pg. 110	Huron (Pre- Post)	VCR	VCR	Research Admin	OR has made significant progress towards the implementation of KC which will address the recommendations from Huron including defining super users	Future
341	Use a central issue-tracking database so bugs can be monitored, assigned and resolved in a timely manner.	KC h, pg. 111	Huron (Pre- Post)	VCR	VCR	Research Admin	Help Spot system being used.	Completed

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342	Continue requesting project managers provide weekly status reports to keep management informed of progress and challenges.	KC i, pg. 111	Huron (Pre- Post)	VCR	VCR	Research Admin	Occurring	Completed and on-going
343	Develop an environment plan used to manage the instances of system introduction, configuration, conversion, development, testing, and training.	KC j, pg. 111	Huron (Pre- Post)	VCR	VCR	Research Admin	In the works. Not yet complete.	In progress
344	Require the technical team to identify and scope required system interfaces with the assistance of functional members.	KC k, pg. 111	Huron (Pre- Post)	VCR	VCR	Research Admin	Occurring	Completed and on-going
345	<i>Kuali Financial System ["KFS"] Implementation</i>		Huron (Pre- Post)					
345	Demo key components of the system in an open forum for researchers and departments.	KFS a, pg. 116	Huron (Pre- Post)	VCR	VCR	Research Admin	Occurring and on-going	Completed and on-going
346	Enhance communication with the campus, keeping everyone informed of progress, changes and important dates of which to be aware.	KFS b, pg. 116	Huron (Pre- Post)	VCR	VCR	Research Admin	Have KC/KS oversight group	In progress
347	<i>Technology ["T"]</i>		Huron (Pre- Post)					
347	Continue to assess the ability to implement the Electronic Data Management System within the Office of Research to promote quicker turn-around times, as well as move toward a less paper intensive process.	T 1, pg. 92	Huron (Pre- Post)	VCR	VCR	Research Admin	Under assessment	In progress
348	Allow for electronic signatures on certain forms with Research Administration easing the burden on departments and investigators to route paper forms throughout campus for signatures.	T 2, pg. 92	Huron (Pre- Post)	VCR	VCR	Research Admin	All forms allowed electronically by SPO with exception of 700U form that state mandates wet signatures for. Some colleges still require hard signatures on proposal and other forms, but SPO does not.	Completed (with follow-up with state to change 700U law)
349	Prior to KC implementation, consider the option of providing an electronic report to Departments/Investigators monthly regarding the status of proposals and awards gathered within the C&G database.	T 3, pg. 92	Huron (Pre- Post)	VCR	VCR	SPO	Created electronic notification to provide PIs and dept. administrative staff with information regarding the status of their project (and contact information). Following SPO business process, standardized email notifications reduces phone call and email inquiries from PIs and dept. staff.	Completed
350	Invest in an electronic portal or database for IRS to share information with campus and track progress and relationships with sponsors.	T 4, pg. 92	Huron (Pre- Post)	VCR	VCR	IRS	IT team says that a password protected website is not possible. Instead, the website lists the information that is available and provides contact info of IRS team to request copies of the information.	Implemented alternate strategy
351	Create and/or modify the Decision Support reports used by PI's/Departments to provide more comprehensive and meaningful reports. Meet with actual users of the reports to solicit input as well as gather details as to what would be most beneficial for the end user.	T 5, pg. 92	Huron (Pre- Post)	VCR	VCR	Research Admin	Obtained external review of project status in November 2013. OR assumed control over IT KC project from ARM and is working toward full workplan since the Weekly meetings with SPRINT User Acceptance Testing (UAT) documentation failed to deliver a completed project.	In progress

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352	Develop a strategic plan regarding research administrative technology systems which addresses current implementations, future scheduled implementations, and long term plans for maintaining these systems.	T 6, pg. 92	Huron (Pre- Post)	VCR	VCR	Research Admin	Planning document available but requires updating due to regulatory changes and identified compliance issues. Implementing prioritization process and have engaged with ACAD to review campus-wide needs.	In progress
353	Technology and Performance Metrics ["TPS"]	pg. 17	Huron (Pre- Post)					
353	Develop a technology strategy for research administration that incorporates the current plans for implementing Quali Coeus and moves Davis further down the path of embracing more comprehensive electronic research administration.	TPS 1, pg. 17	Huron (Pre- Post)	VCR	VCR	OVCR, Research Admin, SPO	New Quali Coeus electronic research administration system will provide new Proposal and Budget Development tools for use by PIs and depts.	In progress
354	Consider the development and implementation of a web-based PI portal. (similar to #331)	TPS 3, pg. 17	Huron (Pre- Post)	VCR	VCR	SPO	Revised web site to improve usability and provide PI tools such as checklists and information regarding proposal and award process.	Completed and on-going
355	Performance Measurement ["PM"]	pg. 123	Huron (Pre- Post)					
355	Develop a balanced set of performance metrics for research administration for central and departmental units, addressing internal operating efficiencies, customer satisfaction and employee development.	TPS 4, pg. 17 & PM 1, pg. 123	Huron (Pre- Post)	VCR	VCR	Research Admin, SPO	Metrics have been completed and automated project-specific surveys are received and reported. Decision must be made relative to implementation of KC, whether the surveys and metrics are the right and accurate measurements / assessments to gauge success. Additionally, budget cuts in departments have reduced support to faculty at the local level. Some colleges are creating or exploring the possibility of creating research administration support units as a shared service within their areas. Resolution of this item requires delegated staff support efforts by departments and colleges in collaboration with SPO	In progress

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356	Once business processes and systems are enhanced, Davis should consider these recommended performance metrics: OR - Average number of days to review and approve a proposal; Average number of days to prepare and set-up subcontracts; Number of hours/days to respond to a departmental or PI inquiry; Number of people that met their professional development plan; Results of customer service satisfaction survey. EFA - Average number days to set-up awards; Monthly unbilled balance (\$); Number of active awards past award end date (+90 days); Number of late financial reports; Average accounts receivable balance (\$); Average days outstanding for accounts receivable; Number of hours/days to respond to departmental or PI inquiry; Number of people that met their professional development plan; Results of customer service satisfaction survey. Academic Schools, Departments or Centers - Percentage of proposals submitted to SPO by Davis deadline; Number of accounts in overdraft; Number of active awards past award end-date (+90 days); Number of departmental cost transfers; % of effort forms completed in designated time frame; Number of effort forms re-certified after initial certification; Number of late financial reports; Number of hours/days to respond to SPO or EFA inquiry; % of faculty and staff that met their training obligations; Percentage of effort reports completed by PIs in designated time frame	PM 2, pg. 124	Huron (Pre- Post)	VCR	VCR	SPO	<i>See #355: Metrics have been completed.</i> The results of customer service satisfaction surveys are already being delivered. Performance metrics are already being reviewed by team leaders with their analysts. We do not yet have the ability to run these types of reports in the aggregate but turnaround times on a project-by-project basis are available. Reports are pending implementation of KC PD, Award, Negotiation and Subaward modules.	In progress
357	Assess current performance levels.	PM 3, pg. 125	Huron (Pre- Post)	VCR	VCR	Research Admin, SPO	<i>See #355</i>	Completed
358	Set performance goals that support continuous improvement and promote exceptional performance.	PM 4, pg. 125	Huron (Pre- Post)	VCR	VCR	Research Admin, SPO	<i>See #355</i>	Completed
359	Hold individuals, supervisors, and teams accountable for meeting goals.	PM 5, pg. 126	Huron (Pre- Post)	VCR	VCR	Research Admin, SPO	Developing metrics reports to allow for stronger expectations and identification of areas of education necessary to meet or exceed goals. Tied to KC rollout - <i>see #355</i> .	Completed
360	Monitor performance measures and communicate outcomes in a meaningful way.	PM 6, pg. 126	Huron (Pre- Post)	VCR	VCR	Research Admin, SPO	In partnership with Academic Senate: Committee on Research Policy, created automated customer satisfaction survey: Quarterly data used to assess and monitor trends and specific concerns. Data shows approval rating continuing to improve.	Completed and on-going
361	Reward improvement and provide clear repercussions for those who do not work towards meeting the performance measure.	PM 7, pg. 126	Huron (Pre- Post)	VCR	VCR	Research Admin, SPO	Performance is measured annually for all employees via the campus Employee Performance Appraisal process. Employees are encouraged to pursue opportunities for professional development. Several employee recognition programs are in place.	Completed and on-going

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362	Combined Research Recommendations Administrative Support		Huron (Pre- Post)					
362	Assemble a research administration leadership committee responsible for providing more cohesive pre-award and post-award services and accountability,	Organizational Structure (OS) 1, pg. 44	Huron (Pre- Post)	VCR	VCR	Research Admin	Committee of Directors, Team Leaders and Managers throughout SPO meets quarterly. Chaired by EAVC. Senior Managers meet monthly and faculty senate members are invited	Completed and on-going
363	Conduct leadership meetings across units in order to share knowledge and brainstorm methods of increasing customer service to Davis research community.	OS 2, pg. 45	Huron (Pre- Post)	VCR	VCR	Research Admin, IA, IRB, IRS, OCR, RCI,	SPO: Ad hoc meetings with college Pls & administrators regarding service needs and topics of interest to improve communications and relations with research community. RCI: Senior Management Meetings are serving this function. IRS: Information exchange accomplished by COR representatives attending OR senior management meetings; and IRS director attending RUD meetings	Completed and on-going
364	Align SPO and EFA assignments by department to support and encourage collaboration throughout the lifecycle of the awarded funding.	OS 3, pg. 45	Huron (Pre- Post)	VCR, VC- ARM	VCR	SPO		Completed
365	Conduct a comprehensive review of Roles and Responsibilities for all administrative positions, central and departmental, to provide better service to the customer by clearly defining the tasks each central office handles as they relate to Research Administration.	OS 4, pg. 45	Huron (Pre- Post)	VCR	VCR	Research Admin	Updated all staff position descriptions to emphasize commitment to research mission.	Completed and on-going
366	Determine the administrative needs at the local level and develop a long-term plan to meet those needs.	OS 5, pg. 46	Huron (Pre- Post)	VCR	VCR	Research Admin	SPO has aligned resources by college and department. Local support is College and Department responsibility. OR looks forward to teaming with identified local resources to develop a white paper/proposal in 2014/2015 for a more decentralized approach to proposal processing.	Delegated to campus departments
367	Professional Development ["PD"]		Huron (Pre- Post)					
367	Develop a variety of training courses tailored to levels of experience in order to provide a better forum for learning and bridging the gap between new and experienced staff.	PD 1, pg. 54	Huron (Pre- Post)	VCR	VCR	Research Admin	Training tools developed for Admin Assistant Team and analysts in SPO.	Completed
368	Consider investing in training programs offered by outside organizations or Human Resources.	PD 2, pg. 54	Huron (Pre- Post)	VCR	VCR	Research Admin	Funding was available for this in 2011-2012 and many staff members participated. Working to identify on-going professional development funds to allow on-going support of this nature.	Completed and on-going
369	Create hands-on training courses and seminars for departments and Pls that go beyond the policy explanations and "do's and don't." (similar to #291)	PD 3, pg. 54	Huron (Pre- Post)	VCR	VCR	IRS, Research Admin, SPO	SPO: Launched campus training programs. See #10 above. IRS: Have coordinated campus-wide grantwriting workshops by external sponsors. Plan to create "homegrown" versions of these in future years.	Completed and on-going
370	Develop and adopt a competency model for recruiting, hiring, training and retaining personnel.	PD 4, pg. 54	Huron (Pre- Post)	VCR	VCR	Research Admin	Onboarding docs and training materials completed. SPO: Developed core competencies and expectations for all positions, emphasizing problem-solving and customer service skills.	Completed

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371	Hold recurring peer group meetings in addition to Team specific meetings.	PD 5, pg. 55	Huron (Pre- Post)	VCR	VCR	Research Admin	Hold recurring research forums, team leader meetings, OR Town Hall meetings (quarterly) and all-hands staff meetings	Completed
372	Schedule informational sessions with departments prior to major deadlines, e.g. NIH, NSF, marketing board, etc.	PD 6, pg. 55	Huron (Pre- Post)	VCR	VCR	Research Admin, IRS, SPO	Have joint Forums with Extramural Accounting, SPO and RCI to relay information. Also use listservs for this purpose. New website adopted and in Phase II of development. IRS: With addition of new FTE in 6/11, we now routinely host information sessions for major programs and funding opportunities. SPO: Brainstorming underway to find the optimum ways of meeting this goal.	Completed and on-going
999	OR changes and improvements previously reported to RRIC that, while useful, do not directly relate to above recommendations							
999						RCI	Prepared Compliance Guide with OR and ARM for faculty and staff	Completed
999						RCI	Reorganized unit in collaboration with the IRB Administration on an interim basis to provide a one-stop shop model for compliance areas (e.g., IRB, Conflict of Interest, Stem Cell Oversight, export control, Committee on Research Integrity, Human Anatomical Specimens, etc.)	Completed
999						Research Admin	Created Online Cybersafety Training to meet campus requirement for training. System notifies each user of the requirement that they must complete the training, tracks his/her completion, and provides a report.	Completed and on-going