



UC-CORO SOUTHERN CALIFORNIA COHORT

UCI • UCLA • UCSD • UCR • UCSB

FINAL REPORT

Recommendations for
UC Revenue-Generating
Business Contracts



**UC-CORO SOUTHERN CALIFORNIA COHORT FINAL REPORT
RECOMMENDATIONS FOR UC REVENUE-GENERATING BUSINESS CONTRACTS
NOVEMBER, 2015**

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Executive Summary

Background/Definition

In spring 2015, the UC-CORO Leadership Collaborative Southern California Cohort accepted the invitation to develop a capstone project: review of University of California (UC) systemwide Revenue-Generating Business Contracts (RGBCs). The focus is to gain better understanding of market-driven engagements involving the external use of University facilities and services on a fee-for-service basis. These RGBCs are distinguished from regular external engagements as they are privately funded through a contracted rate rather than through reimbursement for costs incurred to the University for completing the work. Additionally, and unlike research, they do not result in discovery or invention but can support the University's mission by providing needed funds directly to our campuses.

Project Scope

The UC-CORO team worked with our project sponsor, UC Riverside Vice Chancellor Ron Coley, and the newly formed UC Business Contracts Collaborative to define the project scope as an examination of the many and different ways revenue-generating business contracts are presently managed throughout the UC system. The team engaged in thorough research of industry best practices and consultation with key university stakeholders from across the UC system to identify and recommend more streamlined, collaborative and policy-compliant approaches for producing better contracts that will both increase revenue and reduce risk to the university.

The Case for Change

As the UC-CORO team researched and learned more, it became clear there are tremendous opportunities and that in order to achieve the objective of increasing revenue and reducing risk, there needs to be some fundamental changes. Three key themes emerged:

Revenue Enhancements – Throughout the UC, there are facilities and services that could be offered on a fee-for-service basis; however, the potential for individual campuses to generate revenues from RGBCs significantly beyond current levels may be inhibited by current administrative support, delivery models and frameworks.

Administrative and Bureaucratic Barriers – Extensive bureaucratic processes compounded by lack of clarity about relevant UC policies and requirements can often unnecessarily delay or stall

projects and proposals. This directly reduces the ability for campuses' to embrace entrepreneurial thinking and originate strong partnerships with external parties.

Varied Levels of Risk Exposure – Authority to sign RGBCs is assigned by “Delegation of Authority” documentation. Administration of RGBCs is highly decentralized on most campuses. The general lack of uniform guidance and clarity of relevant policies and requirements increases the practice of individuals without delegated authority signing contracts, thus creating the potential for risk exposure to the university.

Findings

To arrive at our findings, the UC-CORO team undertook interviews with Chancellors, their cabinets, and other UC officials responsible for RGBCs, and analyzed and assessed all of the information gathered. Team members then added insights and analysis drawn from their expertise – professional training, knowledge, and experience – including a combined 265 years of service at UC schools.

Notably, we discovered there is no “enterprise-wide” process or standard for RBGCs; each campus has its own model for administration. Importantly, while campuses' were unanimous they would welcome guidance concerning best practices, templates and tools, they also emphasized the need for autonomy, the ability to leverage unique strengths and assets, and retaining responsibility for local processes. There is broad acknowledgment of the advantages of a UC-wide one-stop-shop orientation (such as websites, list-serves, or other gateways) for those seeking clarity and guidance on the RGBCs process. But success will lie in a “light touch” from the UC Office of the President that supports the efforts and encourages campus level innovation.

Overall, it is clear that throughout the UC system there are resources, motivated people, and expertise which, through collaboration, entrepreneurial thinking, and integration, could be further utilized to capture awaiting opportunities for additional and new risk-appropriate sustainable revenue streams.

Recommendations

The group recommends the President approve, and the Chancellors consider, the following three levels of systemwide recommendations:

President and Chancellor's – Encourage a new mindset that promotes and supports entrepreneurial thinking across our campuses by recognizing and strengthening the potential of this initiative proposing a systemwide focus on RGBCs to provide revenue streams for all UC campuses. This would require supporting and recognizing the UC Business Contracts Collaborative (UCBCC) in the same manner as other systemwide collaborative groups. The UCBCC could be recognized as the entity that will initially drive this new process of change.

Office of the President – Establish a Business Contracts coordinating function to support the activities of the UC BCC and serve as a resource to campuses. Provide services akin to the Alumni Associations of UC, such as regular meetings and coordination of a shared systemwide resource for business contracts resources.

Campuses – Each campus should consider return on investment from adequate staffing levels and an efficient organizational structure, along with encouragement of creative and entrepreneurial thinking.

Conclusion

Streamlining Revenue-Generating Business Contracts represents an excellent source of potential new income for all UC campuses. By encouraging and supporting campus level entrepreneurial activity and endorsing this recommended approach, UC campuses can unlock the value of their rich expertise to generate additional resources, while reducing both administrative costs and the potential for risk.

I. UC-CORO Overview

CORO is a non-profit, non-partisan educational institute supported by foundations, corporations, and individuals that was founded in San Francisco in 1942. CORO's mission is to prepare individuals for leadership through hands on, collaborative learning in public, private, and non-profit settings.

University of California-CORO Leadership Collaborative

The University of California Office of the President (UCOP) initiated a CORO Leadership Collaborative Program in 2012/13 for UCOP leaders, and in 2015 introduced the UC-CORO Leadership Collaborative to offer training to 40 administrators and faculty leaders from the ten UC campuses. The UC-CORO program is custom-designed for emerging UC leaders to develop techniques to enhance leadership abilities, build greater personal and organizational awareness, and establish a strong network of peers. The program focuses on the benefits of inter-campus and cross-functional involvement and includes campus explorations providing participants the opportunity to interview campus leaders, learn about the institution, and get a sense of the physical, intellectual, and cultural nature of multiple UC campuses. Participants are provided a field study opportunity to work on a specific leadership initiative. The UC-CORO program, tailored for the Director level and above, is comprised of a northern California cohort and a southern California cohort.

2015 UC-CORO Southern California Cohort

The Southern California cohort for 2015, originally consisting of 20 participants, of which 16 ultimately completed all phases of the program, included administrators and faculty leaders from UC Irvine (UCI), UC Los Angeles (UCLA), UC Riverside (UCR), UC Santa Barbara (UCSB), and UC San Diego (UCSD). (See Appendix A for Southern California Cohort biographies.) For its leadership initiative study project, the southern California cohort chose to accept the challenge posed by UCR Administrative Vice Chancellor Ron Coley to:

“Examine the manner in which business contracts are managed throughout the UC in an effort to identify more streamlined, collaborative and policy compliant approaches for producing better contracts that generate significantly more revenue.”

II. UC-CORO Systemwide Leadership Collaborative Southern California Cohort Project

"The University will continue to face significant pressure on the most important sources of revenue supporting our academic mission. Every campus must make significant investments in the cultivation of alternative revenues... This investment will require creativity and dedicated leadership at every level of the University."

Janet Napolitano, President, University of California

Project Description

The 2015 UC-CORO Southern California cohort project examines the business contract environment to identify opportunities that will generate additional revenues through the standardization and coordination of agreements with non-UC entities.

Overview & Goals

Given the current fiscal climate, UC must become proactive in seeking out new revenue-generating opportunities. Such opportunities often require the creation of business contracts (agreements) between The Regents of the University of California and one or more parties. It is thought that through better visibility, a more strategic mindset, and a standardized approach, additional revenues could be generated systemwide. Additionally, a more standardized and coordinated approach will substantially reduce the risk associated with these agreements, control administrative costs, and ensure compliance with applicable UC policy.

Process of Exploration – The 2015 UC-CORO Southern California cohort approached this challenge through a process of inquiry and exploration. Our inquiry included separate interviews with Chancellors and Chancellor’s cabinet members at UCI, UCR, and UCSD (Appendix B). The UC-CORO team spoke with Subject Matter Experts (SMEs) at nine UC campuses (Appendix C), explored the business contracting environment at each of our home campuses, and further researched business contracting at non-UC Universities (Appendix D). Through the use of CORO tools and techniques (Appendix E), and in collaboration with the UC Business Contracting Collaborative (Appendix B) we discovered patterns and preferences for administrative practices in the management of revenue agreements.

During weekly calls over the course of six months, the UC-CORO cohort summarized the key themes that emerged and invited a deeper exploration of each theme, to generate specific, actionable suggestions.

Information gathered from these activities informed subsequent in-person meetings. During these cohort brain-storming sessions, we organized the structure of the project around the following:

- Revenue Generation

- Cost Recovery
- Process Efficiency
- Risk Management

Summarization of Data Collection from Systemwide and Campus SMEs

The 2015 UC-CORO Southern California cohort members interviewed business contract subject matter experts (SMEs) from each campus and Office of the President. Despite the fact that campus organizational structures differed, delegated authority varied, and processes were in different stages of maturity, many consistent recommendations for improvement resulted from the interviews. A discussion of the key differences and opportunities for improvement as identified by the SMEs follows.

To gain a better understanding of the challenges in the business contracts area, it is important to understand the differences among the campuses:

First, the business contracts groups reporting lines vary by campus; many report through Procurement, but others report to the CFO, Budget Office, or Risk Management.

Second, each campus has a myriad of delegations of authority, so the scope of responsibility for certain types of agreements within the business contracts area varies. There are great inconsistencies in contract language due to the number of individuals involved, a lack of uniform guidance, and varying skill sets (e.g. some campuses employ individuals with legal backgrounds and others are staffed by procurement professionals).

Third, data collection and reporting are not required, so it is likely that campus leadership is unaware of the types, volume, sources, and dollar amounts associated with the various agreements; this lack of data may negatively impact Unrelated Business Income Tax (UBIT) reporting and/or bond-financed building usage.

Fourth, there are various interpretations of the limited guidance provided (i.e. Regulation 4 and competition), resulting in variations between campuses regarding fully burdened rates.

Fifth and lastly, the campuses with more mature business contracts have invested in developing tools, such as decision trees, local guidance, and web portals, to better support the campus community in revenue-generating opportunities; the sharing and leveraging of this information systemwide can greatly improve services without replicating efforts.

Despite many differences in campus business contract units, there is general consensus regarding areas where the SMEs see opportunities for improvement:

1. a dedicated UCOP resource to coordinate collaboration, organize regular meetings to facilitate the sharing and dissemination of information, and provide training;
2. identification of an OGC designated contact for campuses on business agreements to ensure consistent legal guidance;
3. a common system to manage agreements, share templates and improve processes (e.g. e-signatures); and
4. a common set of definitions to better track data related to business agreements.

In conjunction with the UC Business Contracts Collaborative (BCC) formed by the campuses to share information and provide support to each other, these ideas for improvement will positively impact the business contracts environment at every UC campus.

Summarization of Information Provided by Senior Campus Leaders

The 2015 UC-CORO Southern California cohort interviewed numerous senior leaders from UCI, UCR, and UCSD (see Appendix B for a list of leaders interviewed and sample questions), who shared advice on the subject of RGBCs. Many leaders indicated a desire for the retention of as much campus autonomy as possible, so that campuses can be entrepreneurial. Many also expressed there was an important role for direction in assisting campuses with the creation of contract templates, guidelines and identification of best practices. To the extent possible, some felt that simplification of processes could also help campuses originate new business opportunities. Several leaders emphasized the necessity of tracking the return on investment to ensure that the business is worth the effort and resources applied to the endeavor.

III. Findings

2015 UC-CORO Southern California Cohort Findings

After collecting information from SMEs, interviewing numerous senior UC campus officials, and performing other additional research on the topic, the 2015 UC-CORO Southern California cohort makes the following findings:

Growth – The number of annual RGBCs and other “business contracts”, especially those associated with student placement/training and intellectual property, is perceived as growing and likely continuing to grow.

Increasing Workload Associated with Contracts – With the growing number of RGBCs comes a commensurate uptick in the number of contracts that need to be reviewed, risks to be assessed, new revenue-generating situations to be evaluated, and increased questions coming forward to Business Contracts Offices and the Office of General Counsel (OGC).

Campuses Want Autonomy – Campuses desire ability to leverage their own unique strengths and assets, and to retain responsibility for the business contracts process; however, they recognize the value of working collaboratively to standardize agreements/processes for increased efficiency and risk mitigation.

Divergent Organizational Structures and Resource Needs – 10 campuses = 10 models for processing, reviewing, and approving RGBCs. In general, the process is housed in either the Budget & Planning area (where rates are set) or in Procurement/Purchasing/Risk Services divisions. Levels of business contracts expertise in these areas are uneven, and areas are said to be understaffed relative to the number of contracts and risk assumed. There are an increasing number of highly complex agreements, especially those related to intellectual property rights, data privacy/security, international, and brand affinity, which require specialized knowledge and skills.

Possible Need for Proactive Revenue-Generating Staffing Roles – The roles of contract analysts and risk managers should not be confused with those in a pro-active, revenue-generating role. Some campuses indicated desire for new staff who would take this on for sales and service agreements; other campuses already have such individuals in place, though primarily in the Research areas. While these roles may be separate, there is some coordination and collaboration with the business contracts offices, and there is recognition that more coordination would be beneficial.

Need for Review of Relevant Policies – The most overarching policies governing UC’s business contracts process are Academic Personnel Manual (APM) 020 or “Regulation 4” – from 1958 – and Regents’ Standing Order 100.4dd9 concerning liability for third party conduct

(indemnification). These should be reviewed to ensure their relevance to current circumstances, efficiency of process, and appropriate levels of risk.

Procedural and Risk Issues – There is frequent mention of UC employees signing contracts who are not delegated with the authority to do so. A related concern is non-involvement of principals (i.e., deans and/or vice chancellors in considering the value and nature of specific RGBCs. The key emerging questions: Is this how our facilities should be used? Is this how our faculty/staff should be spending their time and especially the effort required to manage the contract? Are reasonable and defensible rates being charged? Is the anticipated revenue and level of risk worth the negotiation time and effort (i.e., is there an appropriate return on the investment of time and money)?

Possible Need for Data and Tracking Mechanisms – There are varying levels of campus ability to determine what total revenue-generating contract dollar amounts are, what highest-revenue contracts are, and where the greatest potential lies. For example, we can add up the dollar value of a year's RGBCs but do not necessarily track or report the actual revenue realized, which may be quite different. Knowing these totals would help identify trends and opportunities.

Lack of Standard Definitions – Uniformly there was expressed campus need for definitions of business contracts terminology, as well as for templates, form agreements, checklists, guidelines, decision trees, and other resources.

Utility of a One-Stop-Shop Service – There is broad acknowledgment of the advantages of one-stop-shop orientation (websites, other gateways) for those seeking clarity and guidance on the RGBC process (whether customers are within or outside of UC).

Aspects Already Being Addressed – The UC Business Contracts Collaborative (UCBCC), in collaboration with SMEs and OGC, is already working on various aspects of the above findings, such as reviewing Regulation 4, developing templates, and coordinating professional training for contracts analysts. However, additional coordination and guidance is still required to make optimal progress toward a well-organized and effective RGBC process.

Scope of Responsibility – Clarity about the responsibilities of business contracts and sponsored projects offices is being sought as there appears to be some confusion about which office should process "service" agreements with federal flow down provisions and compliance terms. Expertise to review these provisions/terms usually resides with sponsored projects offices. These agreements often include a requirement to use pre-negotiated indirect cost rates and/or form agreements.

Marketing/Communication of Opportunities – There is generally a lack of clear communication of what facilities or services are available for contracting; information is available on multiple sites, depending on which part of campus is being accessed and any business development is usually handled by the various campus units with responsibilities for specific resources.

Opportunity Exists – UC has extraordinary resources, people, expertise, facilities, and equipment. These can and should be used to our advantage to explore opportunities for additional and new risk-appropriate, sustainable revenue streams.

The above findings of the 2015 UC-CORO Southern California cohort lead us to our recommendations in Section V. Our findings indicate that the University has the capability to leverage many of its existing resources to enable entrepreneurial change to occur and increase our potential to produce new revenue, reduce costs, and achieve greater administrative efficiency, all while mitigating risks to the University’s distinguished reputation, putting better controls in place to eliminate unauthorized agreements by University officials without the delegated authority entering into business contracts, and reducing the liability associated with legal action.

IV. Recommendations and Opportunities for Improvement

The 2015 UC-CORO Southern California Cohort members recommend the President approve, and the Chancellors consider, the following three levels of systemwide recommendations:

1. UC OFFICE OF THE PRESIDENT AND CAMPUSES, IN COLLABORATION

A. Encourage entrepreneurial thinking to modify the current culture on campuses around Business Contracts to one that prioritizes “getting to yes”. Too often, the “letter of the law” obsession with and/or fatigue from extensive bureaucratic processes can unnecessarily delay or stall projects and proposals resulting in loss of momentum and reduced effectiveness. Potential UC business partners can be discouraged by a lack of responsiveness by the University – the entrepreneurial focus on getting to yes – and curtail their participation prior to executing an agreement. UCOP and campuses should review the Business Contracts preparation and approval processes with the expressed goal of streamlining all steps in the procedure and eliminating any unnecessary impediments to a successful outcome. Some of the Campus Business Contracts offices are currently tracking the preparation time of some or all of their Business Contracts, while others lack the resources to do so. Ideally, all would be able to do so, with the aim of achieving continued improvement to reduce these timelines.

B. Support the UC Business Contracts Collaborative (UCBCC). The Business Contracts functions at all of the campuses should be recognized and supported in the same manner as that of other systemwide collaborative groups (e.g., Sustainability, Strategic Sourcing, Risk Management) promoted by UCOP and campuses. UCOP and each campus should formalize the role of, and support for, the UCBCC as subject matter experts. The UCBCC should be recognized as the entity that will initially drive this process. UCOP Business Contracts coordinating support role, described in Recommendation II.A, should support UCBCC. The following activities should be addressed (and the UCBCC has already initiated many of these):

- Review Academic Personnel Manual Policy 020 (APM - 020; also known as “University of California Regulation 4”) and UC Regents Standing Order 100.4(dd)9 to identify the legal and policy parameters and suggest changes that can increase the capability of campuses to enter into appropriate business arrangements while still effectively managing the risk associated with Business Contracts [note: Regulation 4 limits the provision of UC services to outside entities, and Standing Order 100.4(dd)9 limits the assumption of liability for third party conduct];
- Development of Business Contract best practices, templates, terminology, decision trees, subject matter expertise, contract examples, income and expense data collection and tracking, and potential business opportunities for a shared systemwide online library or central repository (see below);

- Professional guidance and training for Business Contracts analysts;
- An annual meeting or conference of the UCBCCC subject matter experts to share experiences and ideas for improvement.

C. Engage the UCOP Office of General Counsel (OGC, including counsel resident at each campus) in providing legal guidance in support of Business Contract generation. As indicated in Recommendation 1.A., UCOP OGC should review its support of the Business Contracts function with the expressed goal of streamlining the procedure and eliminating any unnecessary impediments. OGC may need to identify a single point of contact to coordinate the attorneys supporting the Business Contracts function, to expedite the formulation of template agreements and streamline the legal review process.

2. OFFICE OF THE PRESIDENT

A. Establish a central UCOP Business Contracts coordinating support function similar in scale and scope to the UCOP Alumni and Constituent Affairs Office. A small UCOP Business Contracts function should be established to provide direction and coordinating assistance to campuses seeking to implement and expand their Business Contracts opportunities. This coordinating office should take the lead role in providing the following:

- A shared systemwide online library or electronic repository for best practices, templates, terminology, decision trees, subject matter expertise, contract examples, impact and revenue tracking, and potential opportunities that all campus Business Contracts analysts and others (as determined by the UCBCCC) can access;
- Liaison function between campuses, UCBCCC, and OGC;
- Provide some assistance in clarifying roles/responsibilities such as between Sponsored Projects and Business Contracts offices;
- Provide recommendations regarding how to address non-revenue generating agreements such as student placement/training, in-kind sponsorship, online education, nondisclosure (i.e., confidentiality), international MOUs, and other agreements; many of these agreements support the core mission of the University but do not generate any income;
- Determine frameworks where opportunities for cross-campus Business Contract collaborations can be better identified, evaluated and initiated.

UCOP and campuses should undertake periodic review of the return on investment of the UCOP Business Contracts function to ensure that it does indeed assist campuses in streamlining the preparation and approval of Business Contracts and continues to provide value.

3. CAMPUSES

A. *Conduct campus review of local policy and process for Business Contract generation.*

As indicated above in Recommendation 1.A., each campus should review the Business Contracts function with the expressed goal of streamlining all steps in the procedure and eliminating any unnecessary impediments. In particular, appropriate signature authority should be determined to expedite the process, while maintaining appropriate control and management of risk (i.e., ensure that those delegated with authority to execute a Business Contract are appropriately trained and understand all aspects and terms of Business Contracts). Also, at the campus level, determine the extent to which Business Contracts income and expense data collection and tracking is desirable, necessary, and achievable.

B. *Consider an increase in investment of campus resources in the Business Contract function.*

The return on investment from adequate staffing levels and an efficient organizational structure should be considered by each campus. If properly resourced, the Business Contract function at each campus may be able to facilitate the generation of significant amounts of new income to the campus. Each campus should better understand the potential return on investment (or, conversely, the opportunity cost of a less-than-appropriate level of expenditure) of focusing resources to Business Contracts analysts, revenue-generating staff, one-stop-shop systems. UC Berkeley has been successful in recent years at many aspects of encouraging and supporting new entrepreneurial business activity at their campus. Through the UCBC, many of the other campuses have noted this success and are building upon that achievement to garner additional new expertise and competence in this function. The Business Contract function at each campus should support and advance the entrepreneurial business potential of all University departments, programs, and employees. A formal communications/marketing strategy by each campus will ensure that the campuses present opportunities to prospective clients in a manner that will demonstrate a mature business partner instead of a handful of loosely affiliated departments.

V. Revenue Generating Opportunities Via Business Contracts

By following the recommendations in the previous section, the University can enable entrepreneurial change that “*gets to yes*”. Campuses can increase revenue, reduce costs, and achieve greater administrative efficiency. We can do all of this while protecting the University’s distinguished reputation, putting better controls in place to eliminate unauthorized agreements, and reducing the liability associated with legal action.

While the University of California as a whole is doing an excellent job of leveraging its sponsored research opportunities, additional opportunities exist to expand revenue generation from business contracting for use of University services and facilities. The UC campuses possess an abundance of facilities and services not readily available in the community at large, from which the community could derive benefit. Examples include utilization of residence halls for summer camps and conferences, use of campus locales for events and film shoots, specialized laboratory services not available elsewhere, advertising/sponsorships/favorable vendor rebates, and specific knowledge and expertise possessed by faculty. (For a more comprehensive listing of revenue generating opportunities through business contracting see Appendix G on Alternative Revenues in Higher Education, excerpted from information compiled by the Education Advisory Board [EAB]. Established in 2007, EAB is an advisor and performance improvement partner to 1,000+ colleges and universities in North America and Europe.)

Significant revenue opportunities through business contracts may be unrealized throughout the University of California system. Several campuses provide examples of what may be possible at other locations. While some campuses have as yet not engaged significantly in revenue generating business contracting and report annual revenues from this source of only \$1-2 million per year, other UC campuses are realizing revenues in excess of \$50 million annually through business contracting and can serve as examples to others in the system of what is possible. The net revenues generated from these business contracts are used to fund university facilities and staffing in support of the academic mission and service to its students, reducing reliance on other, often strained, funding sources and/or offsetting fees that would otherwise need to be charged for student room, board and services.

Existing examples for revenue generation through business contracting at the University of California include:

- a \$34M per year School of Education contract for services to support the Common Core;
- \$13M generated annually at one UC campus through use of residence hall facilities and food services for external conferences and summer camps;
- \$6M per year from a School of Medicine contract to provide specialized drug testing for athletes;

- \$1M per year from pouring rights with a beverage company;
- \$500K per year from use of a campus' outdoor space for external events and film shoots.

While the particular opportunities for an individual campus may depend somewhat on its areas of expertise and location, there are many commonalities around successes as well as challenges. There is much benefit to be gained from sharing examples of successful revenue generating business contracts across the ten campuses and providing processes and templates that encourage such activity. Encouraging entrepreneurial opportunities in this arena within the guidelines of University policy will benefit the University by providing additional funding for the campuses to augment tuition, fees, state funds and other limited sources of revenues, and benefit the community by providing access to specialized services and facilities available at the University of California.

VI. Conclusion

The 2015 UC-CORO Southern California Cohort members find that streamlining Revenue-Generating Business Contracts represents an excellent source of potential revenue for all UC campuses. By encouraging and supporting campus level entrepreneurial activity and endorsing this recommended approach, UC campuses can unlock the value of their rich expertise to generate additional resources, while reducing both administrative costs and the potential for risk. The University can increase revenue, reduce costs, and achieve greater administrative efficiency, while protecting our image and reputation with a more-streamlined process that also implements better controls and reduces risk.

"This is a key part of our mission as a public university: to equip our faculty, staff, and students to be creative leaders and to advance promising research and entrepreneurship that benefits our society and our economy."

Janet Napolitano, President, University of California

Appendix A

2015 UC-CORO SOUTHERN CALIFORNIA COHORT BIOGRAPHIES

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



JORGE ANCONA
Assistant Vice Chancellor, Alumni and Constituent
UC Riverside

Jorge Ancona joined the University of California, Riverside as assistant vice chancellor of alumni & constituent relations and executive director of the UCR Alumni Association on July 1, 2013. Ancona leads a staff of 15 in UC Riverside's efforts to engage its current and future alumni, parents, emeriti, and retirees. He provides executive leadership to the UCR Alumni Association and its board of directors and also oversees the campus event management and protocol office. He is responsible for stewardship of the Alumni Association's endowment funds and for developing fundraising initiatives for the alumni association and alumni relations programs.

Ancona joined UC Riverside after more than a decade of accomplishments at the University of California, Irvine where he grew the association's scholarship endowments from \$1.5 million to \$4 million; increased the association's assets from \$3.4 million to \$8 million; and increased the homecoming program attendance from 150 participants to more than 4,000. He also led the development of the \$8 million Newkirk Alumni Center, a 12,500 square foot multi-purpose facility that opened on the Irvine campus in January 2013. Prior to his appointment at UC Irvine, Ancona spent eight years working in alumni relations at UCLA, where he earned a Bachelor of Arts degree in economics and Latin American studies.

Ancona serves on the Council for Advancement and Support of Education's (CASE) Commission on Alumni Relations and as one of the co-chairs for CASE's 2015 Senior Alumni Relations Professionals Institute. He has presented at CASE America Latina in Mexico City and was a faculty member for two Minority Advancement Institutes in Washington, D.C. He co-chaired the alumni relations track for two CASE district conferences and was a member of the Council of Alumni Association Executives from 2004 – 2013.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



GEORGIANNE CARLSON
Associate Vice Chancellor/Chief Finance &
Administrative Officer – Business and Administrative Services
UC Riverside

Georgianne Carlson serves as the Associate Vice Chancellor / Chief Financial & Administrative Officer - Business and Administrative Services (BAS) at the University of California, Riverside (UCR). Georgianne joined the UCR campus in July 2000 as the Assistant Dean / Chief Financial and Administrative Officer in the College of Natural and Agricultural Sciences, where she served until July 2009. Prior to joining the Riverside campus, Georgianne held positions of increasing responsibility over an 11 year career at the University of Redlands, in Redlands California, lastly as the Associate Vice President for Finance and Administration and Director of Financial Services. Georgianne's experience also includes seven years as a Certified Public Accountant working with a small public accounting firm located in San Bernardino, California, and a regional firm with offices in the Inland Empire.

UCR's BAS is an organizational unit comprised of the central administrative functions supporting the greater campus, including Financial Services, Student Business Services, Human Resources and Labor Relations, Physical Plant, Transportation & Parking Services, Fleet Services, Architects and Engineers, UC Police Department, Materiel Management, Procurement, Business Contracts, Printing and Reprographic Services, Mail Services, and Environmental Health and Safety. As Associate Vice Chancellor, Georgianne supports the vision of the Vice Chancellor – BAS, by providing leadership to a variety of initiatives and projects aimed at improving the efficiency and effectiveness of BAS units and in establishing BAS as an exemplar on the UCR campus. A major initiative currently underway is the consolidation of what were previously three shared services units providing payroll, human resources, financial and integrated technology services to BAS into one unit that can be scaled to provide such services to the greater UCR campus.

In her role as Chief Financial and Administrative Officer in BAS, Georgianne oversees the financial and administrative operations of BAS units and provides leadership in the areas of budgetary and financial planning, organizational design, workforce planning, technology planning and BAS policy / procedure development and implementation.

In 2012, Georgianne assumed the lead role in developing the successful proposal to locate the UC PATH Center in Riverside and served as the campus' liaison to the Project Management Office during the course of the proposal evaluation and selection process.

Georgianne's service to UCR includes participation in the activities of the following ongoing groups and committees: Administrative and Business Systems Steering Committee, Financial and Human Resources Officers' Group, and the Enterprise Risk Work Group. Recent ad hoc committee engagements include the Campus Safety Task Force, Fraud Risk Management Workgroup (chair), Robinson-Edley Compliance Workgroup, "C Center" Planning Group, and Shared Services Planning Group.

Georgianne is a graduate of California State University – San Bernardino, where she majored in Administration and Accounting. She is a Certified Public Accountant (California License, Inactive).

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



EDGAR DORMITORIO
Chief of Staff, Vice Chancellor Student Affairs
UC Irvine

Edgar Dormitorio is the Chief of Staff for the Division of Student Affairs at the University of California Irvine. In this role, he is responsible for assisting the Vice Chancellor of Student Affairs in managing the division which includes the areas of Enrollment Services, Wellness Health & Counseling, Auxiliary Services, and Student Life & Leadership. The Division of Student Affairs is the campus's largest division and is dedicated to supporting students' well-being and fostering their growth. Prior to serving in his current role he was the Assistant Dean of Students and Director of Student Conduct at the University of California, Irvine for 7 years where he was responsible for managing the campus student disciplinary process. His experiences include managing high profile disciplinary cases involving a range of student behaviors from sexual assaults to working with students with mental health issues. He has served in a number of student affairs positions at UCI over the past 14 years.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



BARNEY ELLIS-PERRY
Assistant Vice-Chancellor Alumni Relations &
CEO UCI Alumni Association
UC Irvine

Barney joined UCI Alumni in the fall of 2014 with a mandate to work collaboratively with campus leaders and alumni volunteers to ideate a new vision to support the ambitions of UCI. Prior to UCI Barney worked in alumni and before that development at the University of British Columbia, Canada's second largest and preeminent University. While at UBC Barney was Co-Lead on www.startanevolution.ca Canada's largest and the world's first dual goal Campaign for a University. The goal of doubling alumni engagement was met a year early and the campaign will meet its financial goal of raising \$1.5 billion on schedule in 2015.

Prior to UBC Barney worked as a fundraiser for a number of large organizations as well as being a partner in a fundraising consultancy for three years. When not at work Barney has been a very active volunteer at the local and national levels and has been recognized by the Prime Minister of Canada for his impact. Downtime is spent rowing competitively, skiing, boating and exploring the world with his husband.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



RENEE FORTIER
Executive Director, Events & Transportation
UC Los Angeles

Renée Fortier received her B.A. from Rice University and M.A./M.S. degrees from UCLA, specializing in Health Care Administration with a focus on strategic planning. In 1982, Renee joined the Chancellor's Planning Office as a planner responsible for health sciences projects, and subsequently worked for Capital Programs as a Principal Planner. Recruited by Business and Transportation Services in 1987, she oversaw the business units, including Insurance & Risk Management, Records Management, and the Staff and Faculty Counseling Center, before assuming responsibility for transportation units, initially overseeing Fleet Services, and then in 1992, becoming Associate Director for Parking and Commuter Services. In 1995 all business functions for the division were centralized under her leadership.

In 2004, she became Transportation Services Director with leadership oversight for the complex UCLA transportation enterprise, which includes: Parking Services, responsible for operations and enforcement of a 23,000 space parking system, as well as campus traffic direction; Fleet & Transit Services with a fleet of over 1,000 vehicles, 50% of which are alternative fueled and a campus shuttle system with over 1.2 million passenger boardings per year and extensive charter operations; Communications and Commuter Services, providing commuter information and assisting with commute alternatives, including the vanpool system serving over 80 Southern California communities, carpooling, subsidized public transit passes, and the bicycle program; Transportation Planning & Policy, which is responsible for overseeing traffic signals and roadway modifications, the cordon count which assures UCLA stays under its daily trip cap, and transportation research and policy analysis. In 2010, with the addition of the Events Office under her purview, Renée became Executive Director of Events & Transportation.

Under her leadership, E&T's focus on quality, efficiency and sound business management are coupled with innovation and a commitment to creating the best environment for customers and staff alike. During her tenure, her division has won several awards for quality alternative transportation programs from the South Coast Air Quality Management District (SCAQMD) and Metro, has been recognized with a gold designation as a Best Workplace for commuters by the United States Department of Transportation and the Environmental Protection Agency (EPA), and was named a "Bike Friendly University" by the league of American Cyclists.

Outside of work, Renée has traveled widely and is an avid sculptor, spending much of her free time practicing her art.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



PETER GRAHAM
Professor of Philosophy & Linguistics
Associate Dean, Student Academic Affairs
College of Humanities, Arts and Social Sciences
UC Riverside

Peter Graham is the Associate Dean for Student Academic Affairs in the College of Humanities, Arts, and Social Sciences at the University of California, Riverside. His portfolio includes admissions and recruiting; university, college and major requirements; assessment and accreditation; course and program creation; curriculum planning, departmental reviews; course offerings, lecturer hiring, and enrollment management; lecturer and TA budgets; orientation; professional academic advising; academic probation and dismissal; honors and awards; degrees and commencement; communication between colleges; collaboration with student affairs; developing, assessing and managing learning communities and high impact programs; improving college teaching; staff professional development programs; among others. He works with University Extension, Student Affairs, Student Conduct, the Honors Program, Study Abroad, Financial Aid, and the Office of Undergraduate Education. He has served on the Charges Committee and the Committee on Privileges and Tenure in the Riverside Division of the Academic Senate. As Associate Dean, he serves ex officio on the College Executive Committee, and the Senate Admissions and Preparatory Education Committees.

He is Professor in the Department of Philosophy and a member of the Program in Linguistics at Riverside. He began his career at Riverside in 2001 and was promoted to Full Professor in 2011. He conducts research in the theory of knowledge, the philosophy of perception, the philosophy of language and communication, and the philosophy of social science. He is the Director of the Epistemology and Philosophy of Psychology Workshop at UC Riverside.

He received his BA from the University of California, Los Angeles in Philosophy in 1991, his MA from the University of Arizona in Philosophy in 1995, and his PhD from Stanford University in 2000. He has taught at Arizona, Stanford, Saint Louis University, Scripps College, Claremont McKenna College, Simon Fraser University, and Yonsei University. He has received research fellowships from the University of Aberdeen and Oxford University. He is an Associate Editor for the Journal of the American Philosophical Association and he is the Vice Chair of the Committee on International Cooperation for the American Philosophical Association.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



JOEL KING, AIA, LEED AP
Assistant Vice Chancellor, Facilities Design & Construction
UC San Diego

Wm. Joel King, AIA, LEED AP, Assistant Vice Chancellor, Facilities Design & Construction. Campus Architect and designated Building Official for UC San Diego.

Mr. King joined UC San Diego in 2008 as a Principal Architect, and was appointed the position of Assistant Vice Chancellor of Facilities Design & Construction and Campus Architect in 2013. As Campus Architect, Joel provides leadership and direction in the delivery of a two billion dollar capital building program.

Mr. King has held positions as Project Manager, Director of Architectural Services, and Senior Director of Campus Project Management. He has been a leader on various capital building projects over the past several years, including the Jacobs Medical Center and Outpatient Pavilion, Altman Clinical Research Translational Institute and Health Sciences Biomed Research Facility, Muir Biology and York Hall Chemistry Lab Renovations, North Campus Housing East and West Villages, Rady School of Management Phase 2, and the Scripps Institution of Oceanography MESOM Laboratory and Marine Facility berthing pier re-construction.

Future efforts include coordination of a number of transportation projects including bringing Light Rail Transit to the campus, as well as other significant regional transportation improvements which will support sustainability and provide means for alternative transportation. Mr. King has and will continue to play a vital role on maximizing these benefits to our community.

Mr. King's background in design and construction is broad. He interned with the San Diego architectural firm of Hallenbeck Chamorro & Associates, where he obtained his architecture license and ultimately became principal-in-charge. He started his own architecture practice in 1994 that specialized in waterfront development on Port of San Diego Tidelands. Before joining UC San Diego, he worked in the capacity of Director of Construction Services for the Catholic Diocese of San Diego for over 14 years where he oversaw the design and construction of a very diverse capital building program. Joel has a B.A. degree from San Diego State University in Industrial Arts, is a member of the American Institute of Architects, Association of University Architects, and is a LEED accredited professional with the US Green Building Council.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



JADIE LEE
Associate Vice Chancellor for Human Resources
UC Riverside

I've been at UCR for 14 years. Since November 2013 I have served as Associate Vice Chancellor for Human Resources. In this role I am responsible for leading, developing and managing a comprehensive human resources program. My responsibilities include employee and labor relations (staff and academic bargaining agreements), recruitment, compensation and classification, benefits, workplace health and wellness (which includes disability management workers' compensation, ergonomics, wellness), organizational and staff development, policy and regulatory compliance, and the Faculty and Staff Assistance Program.

Prior to this I was the campus Director of Labor Relations for 4 years, and prior to that Associate Director of Labor Relations. I am one of the few employees to have been a graduate student, a teaching assistant, a lecturer, an employee, a manager and a leader on the same campus.

Before joining UCR I worked as a senior HR officer for the County of San Bernardino. I have worked in both private and public sector organizations in every major area of HR, including leadership, organizational and employee development, diversity initiatives, policy development and regulatory compliance, disability management, recruitment, classification, compensation, employee and labor relations.

I hold a BA from the University of East Anglia (UK), and an MBA from UCR. I am certified as a Senior Professional in Human Resources.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio

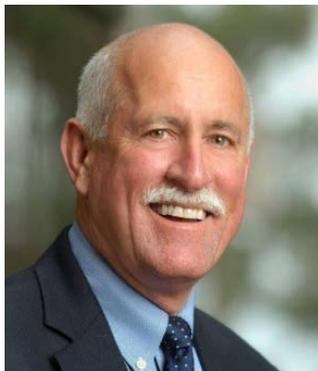


TIFFANY ANA LÓPEZ
Professor of Theatre & Tomas Rivera Endowed Chair, CHASS
UC Riverside

Tiffany Ana López is a community engaged scholar with over twenty years experience working in Chicana/o and Latina/o cultural production and fostering programming about the role of the arts in generating personal and social change. In her position as Tomás Rivera Endowed Chair, she is Director of the annual Tomás Rivera Conference and plays an active role on campus and in the community advancing conversations about Latinas/os in higher education. She is an alumna of the Executive Leadership Academy of the Center for Studies in Higher Education at UC Berkeley and the American Association of Hispanics in Higher Education as well as the Leadership Institute of the Association for Theatre in Higher Education. Among her awards, Dr. López is the recipient of grants from the National Endowment for the Humanities, the Ford Foundation, and the Rockefeller Foundation; she is also a Fulbright Scholar. She is founding Director and Producer of Segundo Jueves, a monthly Latina/o play reading series at the Culver Center of the Arts. As a community artist, she has collaborated with theaters such as The Mark Taper Forum, Company of Angels, and Breath of Fire Latina Theater Ensemble. She is a member of the Advisory Board for the National Latina/o Theater Commons, a founding member of the Latina/o Theater Alliance of Los Angeles, and Resident Scholar for the Los Angeles Theatre Center. She serves on the editorial board of *American Studies* and the national advisory board of *Mujeres Activas in Letras y Cambio Social*. Over the past twenty years, she has mentored into graduate programs a generation of students who are now members of the professoriate. Her work with students is recognized by a Chancellor's Award for Excellence in Mentoring Undergraduate Research.

Dr. López's research, teaching, and creative activities focus on issues of trauma and violence. She is currently completing a book project, *The Alchemy of Blood: Violence, Trauma, and Critical Witnessing in U.S. Latina/o Cultural Production* (Duke University Press). Her work is widely published in journals and books, including: *Theatre Journal*; *Art Journal*; *Frontiers-A Journal of Feminist Studies*; *Aztlán-A Journal of Chicano Studies*; *The Blackwell Companion to Twentieth-Century American Drama*; *The Cambridge Guide to U.S. Latina/o Literature*; *Ethnic Literary Traditions in American Children's Literature*; *Performing the US Latina and Latino Borderlands* and *The Panza Monologues*. Among her publications, she is editor of *Chicana/Latina Studies: The Journal of Mujeres Activas en Letras y Cambio Social* (2005-2012) and the anthology *Growing Up Chicana/o* (1993). Notably, she is the first in her family to graduate high school and go on to college, her journey launching from community college to the California State University and then the University of California, where she achieved the MA and PhD in English. A hybrid scholar and creative artist, Dr. López has dedicated her career to expanding opportunities in higher education for first generation college students and staging conversations about the role of the arts in developing agile and innovative thinkers and leaders.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



GARRY MAC PHERSON

**Associate Vice Chancellor of Environmental and Building Services
UC San Diego**

Garry Mac Pherson is the Associate Vice Chancellor for Environmental and Building Services. In that capacity he manages the day to day demands of seven divisions within the Environment, Health & Safety Department, including Risk Services, Radiation Safety, Research Safety, Environmental Affairs, Fire & Life Safety, Business Services, and Pest Management. In addition, Garry oversees the Facilities Management Department which is comprised of ten divisions managing over 700 buildings, on a major research campus, on over 1200 acres. These include; Building Operations, Building Services, Landscape Services, Utility Services, several Trade shops, Sustainability, and Building commissioning.

Garry came to the University in 2009 after serving in local government for 33 years. While doing so, Garry was a senior manager providing municipal management of safety services, including police and fire departments. While serving in this capacity, Garry completed both a graduate and undergraduate degree from San Diego State University in Public Administration. The skills that Garry developed as a senior government leader are skills that he uses every day to manage a large work force of approximately 700 employees and student workers. Garry believes that his greatest contribution to UCSD is to support the personal and professional development of his employees so that they can achieve the goals that they desire and that will assist the campus in furthering its vision of providing a student centered, research-focused, service oriented public university.

Garry serves on a number of committees on the UCSD Campus and is continuously reminded of the limitless nature of research and science. It is this fascination that fuels Garry's energy and desire to work hard to provide campus stakeholders with the highest level of customer service possible. Garry is the father of two daughters who live in North Carolina and Hawaii. He visits them both when time permits. He enjoys outdoor sports, cooking, and travel.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



BOBBI McCRACKEN

**Associate Vice Chancellor, Business & Financial Services and
Controller
UC Riverside**

Bobbi McCracken is Associate Vice Chancellor of Business & Financial Services and Controller at UC Riverside and reports to the Vice Chancellor of Business & Administrative Services. Departments reporting to Bobbi include the Accounting Office, Business Contracts, Cashiers, Equipment Management, Procurement, and Student Business Services; these units are responsible for accounts payable, banking, business agreements, cash management, controls, enterprise access, equipment management, external audit coordination, financial reporting, general ledger, payroll, post award administration, travel, student billing and receivables, student loans, cashiering, purchasing, procurement card program, business contracts, and equipment management activities. Bobbi enjoys collaborating on systems development and process improvement activities, example of these activities include the campus financial system (Peoplesoft), the Proposal and Award Management Information System, the ledger reconciliation and storage system, the cash collection reporting and reconciliation system and most recently the UC Path Pilot Campus initiative. Bobbi leads the FDP payroll certification pilot effort at UCR. Bobbi began her career at UCR in 1987 and experienced the campus grow from 4,000 students to over 22,000 students. Bobbi was part of the first graduating class in Business Administration at UC Riverside and has a MBA from Cal State San Bernardino.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



GORAN MATIJASEVIC, MBA, Ph.D.
Senior Assistant Vice Chancellor,
Alumni and Constituent Relations
Executive Director of the Chief Executive Roundtable
UC Irvine

Goran Matijasevic is Senior Assistant Vice Chancellor, Alumni and Constituent Relations and the Executive Director of the UCI Chief Executive Roundtable at the University of California, Irvine. In that capacity, he oversees and advances research collaborations and strategic initiatives associated with Roundtable and Alumni Association programs. He also serves as UCI ambassador, establishing partnerships and opportunities that serve to enhance leader-to-leader connections across all campus interdisciplinary fields. Prior to this position, he was director of research development at The Henry Samueli School of Engineering at UC Irvine, where he worked on formation of new industry-university and academic collaborations. Prior to UCI, he worked as a senior engineer at QPlus, a telecommunications start-up company, and Director of Research at Ormet Technologies, a developer of electronic materials and technologies. He managed multiple SBIR projects that led to several industry consortia projects, as well as a license agreement with a Fortune 100 company.

Goran is currently on the boards of OCTANe (Orange County Technology Action Network) and Southern California Biomedical Council, as well as the advisory boards of TriTech SBDC and 2-1-1 Orange County. He was president of the national University Industry Demonstration Partnership (UIDP) 2012-13. At UC Irvine, he serves on the Graduate Division Dean's Leadership Council, UCI Calit2 Division Council, and the UCI TechPortal Incubator Oversight Committee. He has volunteer taught the Entrepreneurship Course for Scientists and Engineers in the Henry Samueli School of Engineering for the last nine years and has mentored several winning teams in the UCI Business Plan competition. He has four patents, and has co-authored three book chapters and over forty conference and journal publications. He was recognized by UCI Alumni Association as Distinguished Engineering Alum in 2008. Goran received his MBA from Pepperdine University and his M.S. ('85) and Ph.D. ('91) degrees from UC Irvine in Electrical and Computer Engineering.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



MERCEDES MUNOZ
Executive Director, Financial and Budget Management
and Campus Treasurer, Office of the Chancellor
UC San Diego

As the Executive Director of Financial and Budget Management for the Chancellor's Office, Mercedes develops strategies to effectively deploy resources in alignment with the mission and Strategic Plan goals of the campus. She advises the Chancellor and Associate Chancellor and Chief of Staff on all aspects of budgetary and financial management for the Chancellor's unit and supervises the Chancellor's Office Business Staff. In addition to providing budgetary and fiscal support, Mercedes also serves as the Campus Treasurer with a dual reporting line to the Vice Chancellor and Chief Financial Officer. Her treasury related duties include financial liquidity and cash management, coordination of capital financing and management of a newly established central bank on behalf of the entire campus.

Mercedes has more than 18 years' experience at UC San Diego. A UC San Diego alumna, her previous position was in the office of the Vice Chancellor, Resource Management & Planning where she served as the unit's Financial Officer. Together with her team, they provided advance planning, budget and resource analysis support for the Vice Chancellor and his respective units with a combined annual budget of \$300 million and a personnel count of 900 FTE. Mercedes has worked previously in the Campus Budget Office (as a Principal Budget Analyst), in General Accounting (as a Plant/Capital Asset Accountant) and in Disbursements (as a student staff member).

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



MICHAEL NDUATI
Associate Dean, Clinical Affairs
LACE Director
Director of Hospital Medicine
UC Riverside

Role

Responsible for building the clinical enterprise of the UCR School of Medicine, including recruitment and appointment of physicians to the faculty. Directs the Longitudinal Ambulatory Clinical Experience (L.A.C.E.) which spans the students' 1st three years of medical school, building on the school's unique clinical training model partnering with community clinics and practice groups. Directs the UCR Hospitalist program at Riverside Community Hospital, overseeing the UCR hospitalist physicians who care for patients admitted at RCH during their hospital stay, from admission to discharge.

Credentials

Volunteer clinical faculty member, UCR/UCLA Thomas Haider Program in Biomedical Sciences and UCR School of Medicine. Nocturnist Associate Physician at Kaiser Permanente Fontana, 2010-2012. Healthcare consultant to the Institute for Healthcare Advancement, Los Angeles, 2005. Teaching Associate, Johnson & Johnson/UCLA Health Care Executive Program, 2004.

Education and Training

M.D. from the David Geffen School of Medicine at UCLA
Residency training at Kaiser Permanente Fontana Medical Center
M.B.A. from the UCLA Anderson School of Management
M.P.H. from the Harvard School of Public Health
Bachelor of science degree in Biomedical Sciences from UC Riverside

Appointments, Recognition & Service

Active member of the James Wesley Vines Medical Society and Foundation, serving as liaison to UCR's African Americans United in Science organization and Director of the Elma Vines Summer Health Academy, 2005-present. Member and Resident Representative to the Quality Improvement Committee, Kaiser Permanente Fontana, 2007-08. Team Physician, Fontana High School Football, 2006-07.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



HEIKE RAU
Deputy Chief of Staff, Office of the Chancellor
UC Irvine

Since September 2015, Heike has been serving as Deputy Chief of Staff in the Office of the Chancellor at UC Irvine, developing plans and strategies for addressing a wide range of initiatives facing the campus. In the nine years prior to that she served as Administrative Services Officer and then Interim Associate Executive Vice Chancellor (2014-15) in the Office of the Provost, providing senior-staff level analyses, budget and policy guidance, and staff leadership, working with deans, vice chancellors, and other administrators to identify and resolve issues and move matters forward.

Heike first came to UC Irvine in 2001 as an Analyst in the Academic Senate Office, where she staffed the Council on Planning & Budget, the Graduate Council, and the Senate's joint graduate/undergraduate academic program review process. From 1995 to 2001 she worked at UCLA, first for a brief period in University Advancement's Corporate & Foundation Relations, then as Management Services Officer for the James S. Coleman African Studies Center, followed by a year at UCLA Summer Session. From 1989 - 1991 she was Graduate Admissions Assistant at the School of Social Welfare at UC Berkeley.

Heike received a B.A. in Communication from UC San Diego and an M.A. in International Communication at American University in Washington D.C., and then from 1993-1995 lived and worked abroad in Eritrea, in the Horn of Africa, writing proposals to secure foreign aid moneys and helping position logistics to develop the marine resource industry in that newly-formed country.

2015 UC-CORO Systemwide Leadership Collaborative Southern California Cohort Participant Bio



Robert Silsbee --
**Resource and Capital Planning Director of the
Administrative Services Division
UC Santa Barbara**

Robert Silsbee is the Resource and Capital Planning Director of the Administrative Services Division at the University of California Santa Barbara (UCSB). Reporting to the Vice Chancellor of Administrative Services, Silsbee participated in securing entitlements for development of more than 300 faculty, staff, and student housing units on UCSB's North Campus on a site that was significantly constrained by sensitive natural habitat. The development project required mitigation of environmental impacts by restoring habitat both on- and off-site. Silsbee also analyzed the financial feasibility of UCSB's acquisition of a thirteen-story, 1,325-bed student residence hall, purchased for \$76 million from a private-sector owner in 2002. He analyzed the financial feasibility of building two commuter parking structures in 2005 and 2006 with construction costs of \$39 million and new debt of \$32 million. He also assisted with successfully guiding the Administrative Services Division through a decade of budget reductions, during which time the Division's state general funds were cut by more than one-third.

During the past three years, Silsbee also served as interim Director of the Transportation & Parking Services department within the Division. Silsbee is an ex officio member of three Chancellor's advisory committees: the Chancellor's Advisory Committee on Student Housing, Parking Ratepayers Board, and Transportation Alternatives Board, and he serves on the campus Information Technology Council.

Silsbee graduated from UCSB in 1980 with bachelor's degrees in economics and environmental studies and in 1989 with a master's degree in economics. Silsbee began working at UCSB in 2000, after 20 years of employment as an environmental and economic consultant in Santa Barbara.

Appendix B

UC-CORO GROUP PROJECT INTERVIEWS WITH SENIOR CAMPUS LEADERS

University of California, San Diego Chancellor's Cabinet members (September 24, 2015)

Chancellor Pradeep K. Khosla*
Executive Vice Chancellor Suresh Subramani
Vice Chancellor and Dean David A. Brenner
Vice Chancellor Sandra A. Brown
Vice Chancellor Juan Gonzalez
Vice Chancellor, Director, and Dean Margaret S. Leinen
Vice Chancellor Gary C. Matthews
Vice Chancellor Becky Pettit
Associate Chancellor and Chief of Staff Clare M. Kristofco

University of California, Riverside Chancellor's Cabinet members (August 27, 2015)

Chancellor Kim A. Wilcox*
Provost and Executive Vice Chancellor Paul D'Anieri
Vice Chancellor Michael Pazzani
Associate Vice Chancellor and Chief Information Officer Charles J. Rowley

University of California, Irvine Chancellor and Chancellor's Cabinet members (July 14, 2015)

Chancellor Howard Gillman
Provost and Executive Vice Chancellor Enrique J. Lavernia
Associate Chancellor, Strategic Communications, Ria M. Carlson
Associate Chancellor, Chief Human Resources, Ramona Agrela
Interim Vice Chancellor, Research, James Hicks
Vice Chancellor, Planning and Budget, Meredith Michaels
Vice Chancellor, Student Affairs, Thomas A. Parham
Associate Executive Vice Chancellor and Chief of Staff Jeff Leffkof
Associate Chancellor, Equity, Diversity and Inclusion, Kirsten Quanbeck

*Leadership interviews

**UC-CORO Systemwide Leadership Collaborative
Southern California Cohort
Leadership Challenge Project**

Agenda

UC San Diego
Chancellor's Cabinet members

September 24, 2015

Welcome and Introductions

Review and overview of Revenue-Generating Business Contracts project

- Project Description
- Overview & Goals
- Key Milestones

Questions

1. What is your understanding of how business contracts are handled administratively on your campus? How easy would it be for someone seeking to develop a business contract to do so on your campus?
2. If a more-standardized approach to business contracting were implemented systemwide, what particular concerns would you have for your campus? Where do you think we would encounter the most support and the most resistance to adoption of proposed systemwide standards?
3. What ideas do you have for revenue-generating opportunities for your campus and/or the system as a whole?
4. To what extent would you consider investing campus resources in order to leverage additional opportunities for revenue generating business contracts on your campus?
5. What would make our recommendations more likely to be implemented and accepted systemwide?
6. What are your thoughts about how CORO's efforts could be focused to yield maximum benefit to the systemwide effort around revenue-generating business contracts?
7. From your past experience working on systemwide projects, what examples, or lessons-learned, can you provide for us that might help us avoid delays, issues, or pitfalls on this project?
8. Is there anything else that you would like to add that we should consider that we haven't yet asked about or covered?

Appendix C

UC-CORO GROUP PROJECT INTERVIEWS WITH CAMPUS SUBJECT MATTER EXPERTS AND UC BUSINESS CONTRACTS COLLABORATIVE MEMBERS

UC Business Contracts Collaborative Overview

The UC Business Contracts Collaborative (UCBCC) is a systemwide standing committee comprised of contracting professionals. It represents all 10 campuses and includes campus and Office of President subject matter experts in the area of business contracts and risk management. The UCBCCs goals and activities are led by the UCBCC Steering Committee and current Chair.

The current UCBCC Chair is Nida Niravanh, Risk Manager, UC Irvine, nniravan@uci.edu. A list of all UCBCC Steering Committee members is in the following table. The Advisory Board includes Ron Coley, Vice Chancellor of Business and Administrative Services, UC Riverside, and Kathleen Quenneville, Principal Counsel, UC Office of General Counsel.

Goals of the UCBCC are:

- To work together as a team and not reinvent the wheel;
- To provide consistent standards in developing best practices and guidelines;
- To provide consistency in standards that is suitable for promoting opportunities and revenue generation;
- To share information and standardize templates;
- To provide opportunities and collaborate with other campuses in order to leverage the UC size and brand;
- To review and understand policies.

It should be noted that UCBCC recently organized a Business Contracts training session with Kathleen Quenneville, with one held at UC Irvine on October 27, 2015 and another one scheduled at UC Berkeley on November 10, 2015. Both sessions filled up at over 100 attendees.

The UCBCC also gave full access to the UC-CORO Southern California Cohort. This included granting viewing access to the UCBCC SharePoint site, which provided access to members of the Collaborative and access to documents, including the results of their survey (summarized further in this Appendix). Additionally, UC-CORO Cohort invited UCBCC leaders and advisors to join several of the weekly UC-CORO Cohort conference calls, while UC-CORO Cohort representatives joined several of the UCBCC monthly conference calls. The draft findings and recommendations of this Final Report were also shared with the UCBCC Steering Committee and Advisory Board, which provided important feedback on these.

UC-CORO members also met in person or spoke by phone (for Northern California campuses) with campus subject matter experts at each of the UC campuses, as noted in the table.

UC Campus SMEs Interviewed and UCBCS Membership

UC Campus	Campus Subject Matter Experts Interviewed by UC-CORO Southern California Cohort Members	UC Business Contracts Collaborative (*Steering Committee) Advisory Board: Ron Coley and Kathleen Quenneville
Berkeley	Maria Rubinshteyn	Maria Rubinshteyn* Karen Etheridge Janice Gonsalves Eryn Hong Jimmy Nguyen Richard Taylor (and UCSF) Ling Zhu
Davis	Kelly Gilmore	Kelly Gilmore*
Irvine	Nida Niravahn	Nida Niravahn* Hung Pham Teresa Tran
Los Angeles	Craig Gill Vincent Riggs	Craig Gill* Vincent Riggs*
Merced	Karen Meade	Karen Meade* Todd Harris Meagan Torres Stephanie Shafer Terry Thun
Office of President	Kathleen Quenneville (OGC)	Emily Breed
Riverside	Bobbi McCracken	David Gee* Bobbi McCracken Steve Staples
San Diego	Nathan Chappell Mark Cunningham Jon Heinlein Ted Johnson Bob Neuhard Pierre Ouillet Dan Park	Jonathan Heinlein*
San Francisco	John Radkowski	Jean Jones* Janet Burrell (Fresno)* Megan Delain John Radkowski Andrew Sinclair Richard Taylor (and UCB)
Santa Barbara	Calli Price	Calli Price* Jacob Godfrey Daniel Sweeney
Santa Cruz	Linda Roberts	Nicole Vamosi* Ku Peihua

UC Business Contracts Collaborative Survey Overview

At the inaugural meeting of the University of California Business Contracts Collaborative, participants representing nine of the 10 campuses were asked to fill out a questionnaire that would provide information on how each campus's business contracts area functions.

Questions included focus on:

- Program size and scope
- Reporting requirements
- Level of campus awareness
- Ability to provide templates

The questionnaire was the group's initial attempt to gather information for comparative purposes. In reviewing the information provided, it became clear that information was either incomplete or unavailable.

The grid (following page) illustrates a point in time where clarity around the work being done by the various offices overseeing business contracts was not readily available.

UC Business Collaborative Survey Responses (page 1 of 2)

Questions	2 & 6	4	7	9	10
Campus	Staffing	Definition of business contract	Estimated Value	Reported to the Chancellor or OP	Level of Awareness
A	5 FTEs	Initial point of contact for all contract related questions and routing agreements to the appropriate department Professional Service Agreements, ICAs, NDAs, Performance Agreements, Speaker Agreements, Film Permits, Hotel and Event Agreements, Catering, Facility Use Agreements, Exhibitor Agreements, and any revenue agreement	Undetermined	Undetermined	Because Business Contracts is currently part of the Services team, the campus is not aware of this as an autonomous function
B	5 FTEs	Legally binding agreement between 2 or more entities	Expenditure Contracts: \$13,000,000 Revenue Contracts: \$2,000,000	No	Strong at the MSO/Financial/Purchasing Analyst Level, but not so much at the PI/Chair level.
C	5 to 6 FTEs	Any agreements for sales and service activity, consulting contracts and specialized contracts requiring significant negotiation on non-standard paper	1,200 agreements totaling \$50,000,000	Not at this time	Varies
D	4 FTEs	Responsible for completing non-commercial services and revenue generating agreements for campus	Not currently tracked	Do not currently report on this.	Increasingly high profile area and one of growing volume and increasing complexity
E	4 FTEs	Incoming professional service agreements and affiliation agreements. The purchasing department handles procurement activities.	Revenue: 479 agreements totaling \$33,007,431 Spend: 950 agreements totaling \$57,993,434	Not aware of any type of value-add reporting that has taken place	The campus community appears to be aware
F	3 FTEs	Business Contracts applies review criteria established by the chief campus counsel and either approves the Supplier terms or proposes contract modifications	Incoming funds are estimated at \$60,000,000	Not directly	Those involved in the activity are highly aware, but it is not relevant for the entire campus
G	2 FTEs	Service Agreements, Performance Agreements, Facility Use Agreements, Exhibitor Agreements, Custom Indexing for Citrus Cloning, Sponsorship Agreements, Teacher Credentialing Internship Program Agreements, Student Teacher Agreements, Educational Teaching Agreements, Consulting Agreements	Tracks volume not money.	No, this value is not reported to Chancellor or OP	The intent is to increase campus awareness
H	1 FTE	One to one revenue generating relationships between University units and external clients	\$4,400,000	No	Frequent user departments and individuals aware of the function value the services. The general campus level awareness is moderate.
I	1 FTE		Not tracked prior to 2015	Has not been identified as a specific category	Have not formally opened for business; requests for activities are handled on an ad-hoc basis

UC Business Collaborative Survey Responses (page 2 of 2)

Questions	2 & 6	12	13	14	15
Campus	Staffing	Templates	Receive legal support in negotiating contracts?	Valuable to have a systemwide summit	Valuable to have ongoing systemwide meetings?
A	5 FTEs	UCOP templates are preferred. Local templates have not been updated since the transition from Business Contract Department to the Services team.	We receive legal support from the Office of General Counsel	Yes	Absolutely. Ongoing systemwide business contracts meetings/communication will help leverage UC's size and resources.
B	5 FTEs	Yes, we absolutely use them and update them regularly.	Department has one Analyst that has a Juris Doctorate. On occasion utilize Office of General Counsel.	Yes	It depends on the content and how often.
C	5 to 6 FTEs	Yes; 29	When necessary, seek input from Office of Legal Affairs at the campus or UCOP Office of General Counsel	Yes	Yes
D	4 FTEs	Yes	Consult with Campus Counsel and OP as needed.	Yes	Yes
E	4 FTEs	Yes	Contact Campus Counsel on an as-needed basis	Yes	Yes
F	3 FTEs	Yes, we try and use standard templates as much as possible.	If there are legal issues, we will engage our campus counsel.	Sure	Sure
G	2 FTEs	Template documents are not used on the campus	They receive support from campus partners as needed	No, it is not money or time well spent at this stage.	Yes, remote business contract meetings and a list serve
H	1 FTE	Yes	Campus Counsel and then a specialist at UC Office of General Counsel if required	Yes	Yes
I	1 FTE	Template forms are relatively new	Consult with Legal Affairs	Too soon to tell	A shared understanding of the ongoing commonalities and differences should be beneficial to all campuses.

Appendix D

UNIVERSITY OF MINNESOTA STANDARD CONTRACTS LIBRARY

The University of Minnesota has a central portal with Standard Contracts Library, hosted by the University's Policy Program of the Office of the General Counsel. (see page capture below). The site states that the Standard Contracts Library is a collection of contracts created by the lawyers and paralegals in the University's Office of the General Counsel (OGC) for use by University departments when conducting business with non-University organizations, such as purchasing professional services, renting hotel space for a University event, and selling University products and services to non-University parties. The Standard Contracts Library webpage has been around since at least 2006.

This library of 261 agreements (listed alphabetically at <http://policy.umn.edu/contracts/alphabetical-list-contracts>) has agreement templates of various types (see as an example, Accelerated Clinical Trial Agreement <http://policy.umn.edu/sites/policy.umn.edu/files/contracts/ogc-sc740.docx>). Each contract listing includes a person who is noted as the Subject Matter Expert (SME), as well as an Owner of the document, someone at the Office of the General Counsel (sometimes the SME and owner for a document are the same person). Note: almost all documents are available publicly for download, with only 18 agreements of the 261 having restricted access.

The Library is also divided by the following Categories:

- Construction & Real Estate
- Educational Affiliation Agreements (Academic Health Center (AHC) affiliated and Non-AHC),
- External Sales & Purchasing Agreements
- International Agreements
- Research & Technology Commercialization Agreements (Copyright, Sponsored Projects Administration, Technology Commercialization, Trademark), as well as
- Other Agreements (Deeds of Gift, Extension, HIPAA, Volunteer, Waivers & Releases)

There are 14 Category Specialists listed on a separate page with email and phone number contact information (several of them being listed as category specialists for multiple areas). Subject Matter Expertise is also listed by office on a separate webpage: <http://ogc.umn.edu/contracts/subject-matter-experts>.



Appendix E

CORO TOOLS

- Leadership Compass
- OARRs (Outcomes, Agenda, Roles, Rules)
- Wedge of Awareness
- WIGO (What Is Going On)
- 4WH (Who, What, Where, When and How)
- FIAO (Facts, Inferences, Assumptions, Opinions)
- Inquiry versus Advocacy
- DKDK (you Don't Know, what you Don't Know)
- Dot Voting
- Fist to 5 Voting
- Ladder of Inference
- Stop, Start, Continue
- Public Speaking
- Giving Effective Feedback
- Reflected Best Self
- LDWpF (Load, Design, Working Parts, Fuel)

Appendix F

DEFINE BUSINESS CONTRACTS (MATRIX)

Types of Business Contracts	
Activity Type	General Description
A. Services Agreement	A contract to sell standardized University products or services to non-University customers.
B. Sponsorship/Royalty Agreement	A contract whereby a non-University entity provides royalties, discounts, goods, and/or services to the University in consideration for recognition in various campus media or at campus events.
C. Content Development Agreement	A contract to develop content for a non-University customer (excludes incoming Subawards)
D. Venue Use Agreement	A contract for rental/use of a University property/venue for non-research purposes (e.g., events, programs, conferences, performances, etc...)
E. Equipment/Facility Use Agreement	A contract for rental/use of University equipment and/or facilities for educational, research and/or public service purposes.
F. License Agreement	A contract to license some right or property (often, intellectual property) to another entity.
G. Waiver Agreement	A contract in which a party relinquishes a known right or grants another party permission to exercise a specified right or rights in exchange for something in return.
H. Student Placement Agreement	A contract that establishes a relationship between the University and another educational or public service organization related to a shared education or public service goal. UC students are given an opportunity to intern and train at another organization while receiving credit.
I. Student Training Agreement	A contract with an outside organization under which students enrolled in University programs obtain training or work experience off campus, but typically not for academic credit.
J. Affiliation Agreement	A contract between the University and another institution, usually a nonprofit, that is created when the parties jointly operate a shared, ongoing program.
K. NDA/CDA	A non-disclosure/confidentiality agreement.

Source: UC Business Contracts Collaborative (UCBBC)

Appendix G

EAB RESEARCH FINDINGS/BUSINESS CONTRACT DATA/REVENUE OPPORTUNITIES

Education Advisory Board (EAB)

University Business Executive Roundtable – Research Brief

External Fee-for-Service Agreements

Defining and Managing Contracts

Key Observations:

- Many institutions enable university actors to engage in fee-for-service activities, and often maintain discrete policies to govern those engagements.
- Fee-for-service contracts apply to engagements involving external use of university-provided:
 - ❖ Facilities: An external party uses a university facility or university-owned equipment for their own purposes. For example, a pharmaceutical company contracts with a university in order to use their laboratory to conduct tests on a new prescription drug.
 - ❖ Services: An external party hires an employee of the university to provide a service for them. For example, a pharmaceutical company hires a university faculty member to conduct tests on a new prescription drug.
- Institutions permit fee-for-service activities only when the activity does not detract from the education and research mission of the institution. Projects carried out through fee-for-service activities advance the mission of the university as an institution of higher education.
- Fee-for-service activities are often distinguished from other types of external engagements because they are privately funded through a fixed rate rather than through reimbursement for costs incurred to the university for completing the work.
- Externally sponsored activities are distinguished as “fee-for-service” when they do not require application of intellectual expertise and do not result in discovery or invention, unlike research.
- Parameters distinguishing fee-for-service activities from sponsored research:

- ❖ Specification of scope: In a fee-for-service activity, the scope of work is clearly defined by the contracting party before the project begins.
 - ❖ Predictability: Services performed through fee-for-service activities can be repeated multiple times and produce the same predetermined outcome or deliverable. In contrast, research explores or tests a hypothesis, resulting in an outcome that is unknown at the beginning of the project.
 - ❖ Generation of Intellectual Property: No intellectual property is created through a fee-for-service activity because the service produces a predetermined outcome. Research, in contrast, may result in a new discovery or invention that may be licensed as intellectual property and/or will result in publication.
- Fee-for-service agreements with external parties typically exempt institutions from responsibility for the profitability of projects carried out using university-provided services or facilities, as well as any safety or legal risks associated with performing the work.
 - Departments of research administration and/or controller's offices typically oversee administrative, compliance, and accounting procedures supporting fee-for-service activities.
 - Payment rates for fee-for-service engagements vary, based on the nature and duration of the work and the type of organization contracting the activity.
 - Institutions charge overhead costs for activities and review engagements for applicability of Unrelated Business Income Tax (UBIT).

**EDUCATION ADVISORY BOARD (EAB)
ALTERNATIVE REVENUES IN HIGHER EDUCATION**

TESTING AND CERTIFICATION	FACULTY CONSULTING	"STEALTH" ADVERTISING AND SPONSORSHIP/FAVORABLE VENDOR REBATES	ALUMNI, PARENT, AND COMMUNITY AFFINITY PROGRAMS	DIVERSIFYING ATHLETICS REVENUES	EVENTS RENTALS	LONG-TERM LEASING
<ul style="list-style-type: none"> Professional Society Testing Partnerships ESL Testing and Certification Distance Learning Proctoring Services Placement Test Fee For-Profit Educator Testing Site Rental Online Remedial Programs 	<ul style="list-style-type: none"> International University Curriculum Consulting Faculty Expertise Databases Industry-Sponsored Capstone Projects Nurse Practitioner Practices 	<ul style="list-style-type: none"> Exterior Micro-Signage Flatscreen advertising Bundled Student Media Advertising Packages Meal Plan Site Restaurant Guides Orientation Sponsorship Career fair Sponsorship Case Competition Sponsorship Academic Department Sponsorships Exclusive Vending Rights 	<ul style="list-style-type: none"> University Columbaria On-Campus Spending Loyalty Programs Parent Orientation VIP Packages Debit Card Affinity Programs Alumni Peer to Peer Lending Online Campus Bank Insurance and Retirement Counseling Affinity Marketing 	<ul style="list-style-type: none"> Professional Team Stadium Home Games Co-branded Exhibition Games Lifetime Premier Stadium Seating Sports Memorabilia Auctions Athletics Website Sponsorships Enrollment –Focused Sports Team Launch Development-Focused Sports Team Launch Student Athlete Likeness Rights Stadium Beer Sales 	<ul style="list-style-type: none"> Centralized Facilities Availability Database Outsourced Facilities Marketing Local Hotel and Conference Space Partnerships SMART classroom Rental Farmer's Markets Flea Markets Outdoor Movies 	<ul style="list-style-type: none"> Exterior Cellular Antenna Stealthing Interior Cellular Distributed Antennas Tutoring and Test Preparation Leasing For-Profit Educator Leasing Corporate Research Facility Leasing Private Sector Office Space Off-Peak Parking Lot Rental Retail Ground Leasing
CAMPUS HEALTH CENTER	FUTURE BOOKSTORE	PREMIUM-PRICED HEALTHY AND CONVEINIENT FOODS	SELLING ADMINISTRATIVE SERVICES	SUSTAINABLE ENERGY PURCHASE POWER AGREEMENTS	SHARED-COST LUXURY AMENITIES	DEVELOPMENT JOINT VENTURES
<ul style="list-style-type: none"> Student Insurance Carrier Billing Outsourced Third-Party Billing University Employee Clinics University-Owned Lab Services Health and Wellness Center Fee 	<ul style="list-style-type: none"> Textbook Rental Service Online Ordering Kiosks Small-Batch Custom Publishing Executive Sales Publishing Partnership Community Interest Bookstore 	<ul style="list-style-type: none"> Organic Food Stations Express Fine Dining Rotating Guest Restaurant Days Meal Plan Food Delivery Partnerships Off-Campus Meal Plan 24/7 Automats Library Coffee Shops 	<ul style="list-style-type: none"> IT Hosting Bandwidth Leasing Temporary Agencies Library Services Child Care Centers Research Equipment User Fees Domain Space Rentals 	<ul style="list-style-type: none"> Rooftop Solar Panels Parking Lot Solar Trees Wind Farm Contracts Regional Biomass Waste Sourcing Landfill Methane Pipeline Partnerships Geothermal Heat Pumps Local Cogeneration Partnerships Renewable Energy Credit Hedges 	<ul style="list-style-type: none"> Gaming Center Tournaments Personal Training Clubs Town-Gown Transportation Partnerships Campus Trunk Shows Laundry Services Campus Salons DVD Rental Kiosks 	<ul style="list-style-type: none"> City-Funded Satellite Campus Development Student Residence Build-Leasebacks Faculty Housing Co-development Projects Corporate Research Facility Joint Ventures

Appendix H

UCB BUSINESS CONTRACT VISUALS

Contracting at Berkeley <http://bcbp.berkeley.edu/contracting-berkeley>

The [University of California, Berkeley Guide to Contracting](#) is now available! It is a step-by-step guide to creating, amending, executing, and terminating contracts on the Berkeley campus.

Where do I start?

Contracting at Berkeley can be confusing. There is a wide variety of contracts for different purposes and about a dozen campus offices who each manage different types of contracts. To learn about the process of creating and maintaining legally binding Berkeley contracts and the roles of the various contracting offices on campus, you can access the first ever [UC Berkeley Guide to Contracting](#) on this webpage.

Once you finish reviewing the guide, please click on the [Contracting Offices Decision Tree \(link is external\)](#) above to find out which is the most appropriate office to help you with your specific contracting needs.

By following these steps, you will have a better understanding of UC Berkeley's contracting requirements and identify which contracting office will help you with your contracting needs. Going through this process will reduce the time needed to meet your unique contracting consulting, drafting, and approval needs.

Please refer to the guide for information on who to contact for help, or email bcbp@berkeley.edu ([link sends e-mail](#)).

Thank You and Happy Contracting!

Decision Tree

NEXT, click on the Contracting Office [Decision Tree \(link is external\)](#) photo above to find out which office to contact.

Contracting at Berkeley

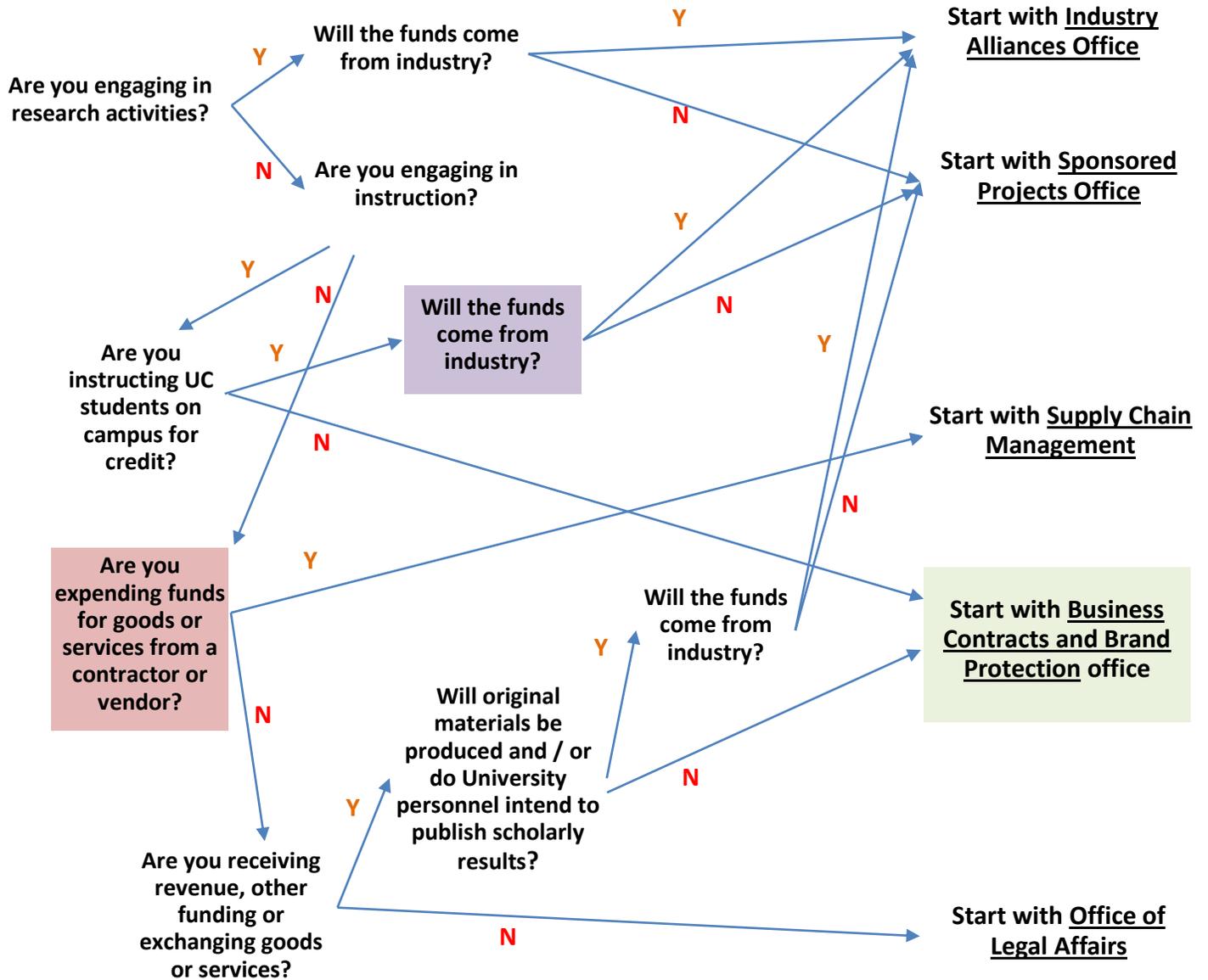
Not sure which office can help with your contracting needs? Take a short stroll with us to help pinpoint your most likely starting office.

Note that this decision tree is designed to direct the majority of contract requests to the correct starting place. Contracts outside this process will be directed to the correct office by the Contracting at Berkeley team based on an assessment of the contract.

Research - *The University's scope of work supports a research project being directed and carried out by another organization. University personnel are involved in decisions regarding the design or implementation of the research and/or the interpretation of the research results. University personnel are credited as co-authors on papers that emerge from the research. The*

work carried out by University personnel may result in patentable or copyrightable technology or products.

Sponsored Research - The majority of the scope of work involves investigation or experimentation aimed at the discovery and interpretation of facts, the revision of accepted theories or laws in the light of new facts, or the practical application of such new or revised theories or laws. May be applied or basic research.



UC Berkeley Contracting Decision Tree

Still unsure where to start?

Check out the Who Does What Guide, Glossary or Frequently Asked Questions (FAQ) at <http://bcbp.berkeley.edu/contracting-berkeley> . This guide is designed to help you identify your most likely starting contracting office. Contracts submitted to the incorrect office will be redirected to the correct office. If you do not find an answer to your question or would like additional information, please contact us at bcbp@berkeley.edu or call us at 510.664.7151.

[Business Contracts and Brand Protection](#) office

BCBP reviews, drafts, negotiates, and executes business contracts for Berkeley on behalf of The Regents of the University of California (UC Regents). Individual faculty members, staff and students should contact their department business officer for authorization to begin the business contracts process. Requests to review or create an agreement are submitted through the Business Contracts Management System (BCMS).

[Industry Alliances Office](#)

UC Berkeley's Office of Intellectual Property and Industry Research Alliances (IPIRA) was created in 2004 to provide a "one-stop shop" for industry research partners to interact with the campus. IPIRA's mission is to establish and maintain multifaceted relationships with private companies, and thereby enhance the research enterprise of the Berkeley campus. These relationships include sponsored research collaborations, and intellectual property commercialization (sometimes referred to as technology transfer). This office reports to the Vice Chancellor for Research and consists of two peer divisions: the Office of Technology Licensing (OTL), and the Industry Alliances Office (IAO).

[Office of Legal Affairs](#)

UC Berkeley Office of Legal Affairs (OLA) offers timely legal advice to campus leadership, faculty and staff, seeks to anticipate and offer creative solutions to legal problems, works to resolve legal disputes, and advocates on behalf of the campus. OLA also serves as liaison between the campus and the UC Office of General Counsel in Oakland. OLA strives to be a valued and trusted partner, recognized for creativity, expertise, service orientation, and commitment to UC Berkeley's mission and values.

[Sponsored Projects Office](#)

The Sponsored Projects Office is responsible for reviewing and authorizing proposals for submission and for interpreting, negotiating, and accepting contracts and grants for sponsored projects funded by federal and state agencies, foundations, and other public and private sources. SPO prepares and negotiates all subawards for collaborative research. SPO also provides resources for finding funding opportunities. SPO transactions focus on funds for research, professional and scholarly training and service activities related to research and professional and scholarly training. In general, if the outcomes of the work will be published by UC Berkeley faculty, staff and/or students, the transaction should be handled by SPO if the funds are coming from a government or non-profit entity. If the work involves the creation of new products or tools or applications rather than the use of off the shelf and previously developed materials, SPO should be office of choice.

For a quick guide to proposal review and submission, visit <http://www.spo.berkeley.edu/guide/submitquick.html> . If you are new to Contracts and Grants, you may wish to visit <http://www.spo.berkeley.edu/guide/new2grantscontracts.html>.

Supply Chain Management

Supply Chain Management is responsible for the acquisition of goods and services for the campus community on behalf of The Regents of the University of California. Authority for unrestricted purchases under \$5000 has been delegated to the departments. For purchases over \$5000, contact your campus buyer.

Our services include:

- BearBuy Electronic Procurement System - Providing guidance and facilitation for purchases - Initiating, reviewing, and approving purchase for goods and services over \$5000 - Assisting with policy interpretation and compliance - Establishing best practices in campus purchasing activities - Managing supplier relations - Manage Procurement Card Programs to facilitate purchases of goods and services - Supplier Diversity programs to optimize opportunities for small and diverse businesses to contract with the University.