



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

April 4, 2022

CHANCELLORS
EXECUTIVE VICE CHANCELLORS/PROVOSTS
ACADEMIC COUNCIL CHAIR ROBERT HORWITZ
LABORATORY DIRECTOR MICHAEL WITHERELL
ANR VICE PRESIDENT GLENDA HUMISTON

Re: Recognizing Innovation Transfer and Entrepreneurship in the Academic Personnel Process

Dear Colleagues:

The University of California is proud of its preeminent role as a fount of new discoveries in all aspects of our work – advancing teaching and learning, basic scientific and humanistic research, medicine, technology, engineering, and the arts. Part of the mission of UC, particularly as a land-grant institution, is to move these discoveries and advances from the University into society at large. To help guide UC in this endeavor, the UC Regents established [Regents Policy 5105: Policy on Innovation Transfer & Entrepreneurship, effective May 13, 2021](#). To ensure that UC's innovation transfer and entrepreneurship programs succeed at the systemwide and campus levels, the following objectives were established:

- Promote the translation of UC's discoveries into useful products, services, and innovations that not only provide value to individuals and society, but also endeavor to uplift the human condition;
- Inspire the passion of our faculty and student inventors, as well as provide the problem-solving and collaborative support necessary to translate those ideas into real-world solutions having societal benefit; and
- Pursue fair value for our intellectual property so UC can continue to grow its excellence in scholarship, research, and global impact.

These objectives are consistent with the University's mission. Therefore, the participation of academic appointees in scholarly activities which realize these objectives should be recognized through academic personnel review processes, including appointment, merit review, promotion, and tenure. While evaluation of much of this work (such as patents) is already taken into consideration in the review process, the methods in which UC carries out its mission of teaching, research, and service is always evolving, and so must how we assess our work.

The changing landscape of innovation transfer and entrepreneurship precludes a prescriptive approach to consideration in the review process. In consultation with the Academic Senate,

contributions should be evaluated under the current framework of the Academic Personnel Manual (APM) and may fall under areas of teaching, research and creative work, or service. APM section 210-1.c(4)d provides useful flexibility in the application of review criteria where the work of faculty members departs from established academic patterns or where changes in emphasis and interest occur in an academic career. This flexibility does not relax the high standards of UC but, rather, acknowledges that scholarship will evolve and the University will enter new fields of endeavor and refocus its activities over time.

The following list represents examples of activities that might be presented in the review process where applicable.

- Applied research and/or research translation through public-private partnerships
- Research and/or development funding or support from industry, private ventures, or other for-profit sources
- Technology transfer-related grants and contacts
- Contributions to team science, such as externally-sponsored centers and institutes, and other collaborative systems for scholarly discovery
- New approaches and innovative methods for teaching and learning
- Creation of intellectual property and disclosures submitted
- Dissemination of knowledge through nontraditional means
- Patents, copyrights, or licenses of inventions, processes, procedures, software, or creative works – applied for, pending, and awarded
- License or royalty income received
- Clinical advances in procedures and practices
- Creation and contributions to start-up companies or services
- Commercialization and impact of research and other scholarly activities
- Mentoring, nurturing, and encouraging innovative, inventive, and entrepreneurial drive in students and peers
- Supporting diversity of culture and perspective in innovation transfer and entrepreneurship through sponsorship and visibility of translational research by persons underrepresented in these areas
- Providing students with translational research and entrepreneurial experiences that provide a connection to real-world problems

As is already established in the APM, candidates for review are best served by documenting context, quality, and level of contribution in their endeavors. Academic appointees presenting translational research, innovation, and entrepreneurship activities should demonstrate how their work significantly contributes to the reputation of UC and to societal good. Recognizing the diversity of scholarship and research at UC, campuses are encouraged to formulate standards for consideration of such activities in the review process, paying attention to departmental and disciplinary distinctions.

To meet the objectives established by the Regents and expected of a preeminent institution, it is missionally important that UC recognize the integrative nature of basic research, innovation transfer, and entrepreneurship. I request that you to work with your faculty to credit less-traditional activities as well as basic research in the review process.

Sincerely,

A handwritten signature in blue ink that reads "Michael T. Brown". The signature is written in a cursive style with a large initial "M".

Michael T. Brown, Ph.D.
Provost and
Executive Vice President for Academic Affairs

cc: UC Regents
President Drake
Academic Council Vice Chair Cochran
Vice Provost Carlson
Vice President Maldonado
Secretary and Chief of Staff to the Regents Shaw
Vice Provosts/Vice Chancellors Academic Personnel/Academic Affairs
Associate Vice Provost Lee
Assistant Vice Provosts/Assistant Vice Chancellors/Directors - Academic Personnel
Executive Director Baxter
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