

May 24, 2010

DEANS, DEPARTMENT CHAIRS and DIRECTORS

Re: Faculty Guidelines for International Collaborations

As UCLA builds varied forms of collaborations and exchange programs with universities around the Pacific Rim and beyond, academic personnel questions arise about faculty (and other academic appointee) involvement with these foreign institutions.

Current University regulations about faculty use of time, conflicts of commitment, compensation, and other important issues do not explicitly address these varied forms of collaboration. This document attempts to create a process for clarifying existing policies by requiring that individualized agreements to address these issues be entered into with participating faculty.

Prior to a faculty member participating in such an international collaborative relationship, a written agreement must set forth the expectations of **(1)** UCLA and its department/school, **(2)** the institutional partner, **(3)** the faculty member, **(4)** as well as all three partners with respect to the expected benefits. The agreement must reflect a negotiated understanding among them and be signed by the faculty member, an official representative of the foreign institution, the UCLA faculty member's Dean, and any other administrator specified in APM 025 as well as Policy 980, "University International and Exchange Agreements," which can be found at:
<http://www.adminpolicies.ucla.edu/app/Default.aspx?&id=980>.

The agreement should reflect the following:

1. Teaching and Other University Responsibilities:

- a. The agreement must recognize that a faculty member is first and foremost a UCLA employee and ensure that the collaboration does not conflict with a faculty member's University responsibilities, including teaching (the regular departmental course load), student advising, scholarship, research commitments, clinical responsibilities, and service.
- b. If activities with institutional partners will affect performance of these responsibilities, it is preferable for faculty to take a Leave of Absence.
- c. With the permission of the Chair, in consultation with the Dean, specific arrangements may be made for faculty to remain on active service at UCLA and still participate in international collaborations. For example, if spending time at a collaborating institution would affect office hours and student advising, then Chair approval would be required. It may be possible for faculty to "double up" on teaching during one quarter to pursue

- international opportunities in another quarter without going on leave, provided that the Chair concurs and has assured the Dean that departmental staffing needs are met for teaching and student advisement.
- d. In determining how best to adjust a faculty member's service responsibilities, the Chair should balance the other service needs of the department, campus, and University against the benefits to the campus of the proposed international activities.
 - e. Faculty need to assure that their committed percentage of effort and other obligations are met with regard to any contract and grant funding.
- 2. Intellectual Property:** UCLA faculty have an obligation to disclose all patentable discoveries to the University regardless of whether they are made at UCLA or elsewhere. However, after reviewing an invention disclosure, the University may decide to not assert ownership if the discovery was not made using University resources or facilities and does not arise from within the faculty member's scope of employment. In other cases, joint ownership may be negotiated with the international institution, reflecting the contributions the faculty made at UCLA. For additional guidance on this and other IP issues including confidential information and Export Control, see "Guide to Faculty Consulting Activities and Consulting Agreements" at http://www.research.ucla.edu/oipa/files/Consulting_Agrt_09-09.pdf. The Vice Provost of Intellectual Property and Industry Relations can address any issues that arise.
- 3. Research Grants and Contracts:** Sponsored Research funding may not be used to cover faculty time on other projects. Further, without prior written approval from the Vice Chancellor for Research, faculty may not submit grant or contract applications through an outside institution. Other options, such as a subcontract for the faculty member's time or through a consultant agreement, may be negotiated depending on the planned activities. See APM 025 as well as the "Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts Through the University" at http://www.research.ucla.edu/researchpol/memos/PI_policy.htm. The Vice Chancellor for Research can address any issues that arise.
- 4. Use of University Resources:** Faculty may not utilize, for the benefit or in the service of an outside institution, UCLA resources including gift, grant or contract funds, personnel or facilities and equipment, without the prior written approval of the appropriate University administrator (such as the Department Chair, Dean, Vice Chancellor or Vice Provost depending on the specific resource).
- 5. Titles:** An appropriate title at a foreign university includes "Visiting" or an equivalent. No permanent titles should be used.

6. Compensation: Whether during regular service or on Sabbatical Leave, faculty may earn, in addition to their UCLA salary, compensation from Outside Professional Activities subject to APM 025 limits (e.g. 39 days per academic year for 9-month appointees or 48 days for 11-month appointees). Faculty can also receive compensation for Outside Professional Activities (including from foreign institutions) during the summer if not receiving University compensation.

Faculty on a Partial Sabbatical earn a pro rata portion of a Sabbatical salary but may also earn additional compensation from Outside Professional Activities subject to APM 025 (a pro rata number of 39 or 48 days).

Participants in faculty compensation plans must comply with all plan rules.

Feel free to share these guidelines with your faculty. Please contact any of us should you have any questions. Thank you for your attention to this matter.

Sincerely,

Nick Entrikin

Vice Provost, International Studies & Institute

Kathryn Ann Atchison

Vice Provost, Intellectual Property & Industry Relations

Tom Rice

Vice Chancellor, Academic Personnel