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October 11, 2012

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

I am pleased to provide the enclosed report on the implementation of RE-89, the Regental resolution passed on September 20, 2007, requiring special review, approval, and reporting procedures for proposals to obtain research funding from the tobacco industry.

Under RE-89, the President is to prepare and submit to The Regents an annual report summarizing the number of proposals submitted to the scientific review committee established by each campus pursuant to RE-89, the number approved, and the number funded, along with a description or abstract of each proposal. My office asked each campus to provide this data, along with additional related information. The campus responses are summarized in the enclosed report and are included in the Appendix. Through the end of FY 2012, no campus reported having had any new research proposals or new research awards from a tobacco industry sponsor.

Please let me know if you have any questions about the enclosed report.

With best wishes, I am,

Sincerely yours,

A handwritten signature in black ink, appearing to read "Mark G. Yudof".

Mark G. Yudof
President

Enclosures

cc: Chancellors

PRESIDENT'S REPORT TO THE UNIVERSITY OF CALIFORNIA BOARD OF REGENTS: FY 2012 REPORT ON PROPOSALS SEEKING RESEARCH FUNDING FROM THE TOBACCO INDUSTRY

BACKGROUND

On September 20, 2007, the Board of Regents approved RE-89, a resolution put forward by the Committee on Finance, requiring Chancellors to adopt special review, approval, and reporting procedures for proposals to obtain research funding from the tobacco industry. The adopted resolution replaced an earlier version of RE-89 that would have restricted University acceptance of such funding.

The full text of RE-89, as adopted, can be found starting on Page 37 of the September 20, 2007 approved Regents Minutes found at:

<http://www.universityofcalifornia.edu/regents/minutes/2007/board907.pdf>.

RE-89 directs each Chancellor to establish a policy requiring that prior to the submission of any proposal to seek research funding from the tobacco industry, the research proposal must be reviewed by a scientific review committee designated by the Chancellor for this purpose, and that the proposal must be approved by the Chancellor prior to submission. RE-89 requires that The Regents shall receive timely notice of such grants and a description of the research to be undertaken, and that for each proposal reviewed, The Regents shall receive a copy of the scientific review committee's report and a copy of the Chancellor's determination letter (stating whether the proposal is to be approved for submission, along with the rationale for the determination).

Under RE-89, The Regents also directed the President to prepare and submit to The Regents "an annual report summarizing the number of proposals submitted to the scientific review committee, the number approved, and the number funded, along with a description or abstract of each proposal." The reporting requirement is to be kept in place for at least five years, after which the President is to consult with The Regents to evaluate whether the reporting requirement should be continued.

In September, 2008, the President submitted the first annual report to the Regents, including not only specific data about proposals seeking research funding from the tobacco industry, but also information about systemwide advice that had been distributed to help each campus implement RE-89 and information about the steps each campus had taken to implement the new review and approval procedures. As reported FY 2009, all ten University of California campuses adopted policies and/or procedures to implement RE-89.

Provided below and in the attached Appendix is data regarding proposals seeking research funding from the tobacco industry as well as research funding received from the tobacco industry for Fiscal Year 2012 (July 1, 2011 through June 30, 2012).

CAMPUS DATA

For the reporting period (July 1, 2011 through June 30, 2012), no campus reported having a research project that required a special scientific review as established under RE-89.

Philip Morris USA Inc. is the sponsor of two ongoing projects, one at Irvine and one at Los Angeles.

The Irvine project commenced on July 8, 2005, prior to the passage of RE-89, and is scheduled to end on July 7, 2013. The cumulative award amount is \$883,471. As of July 1, 2012, the project has approximately \$413,131 in remaining funds to be expended.

The Los Angeles project commenced on September 1, 2006 and is scheduled to end on December 30, 2012. The cumulative award amount is \$8,000,000. As of July 1, 2012, the project has approximately \$44,155 in remaining funds to be expended. In 2010, Los Angeles did invoke the special review and approval procedures pursuant to RE-89 as Philip Morris extended the project's end date and provided additional funds.

The individual campus RE-89 implementation reports are attached in the Appendix to this report.

APPENDIX

CAMPUS RE-89 IMPLEMENTATION REPORTS FY 2012

RE-89 IMPLEMENTATION REPORT:
Division of Agriculture and Natural Resources
(ANR)

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: DIVISION OF AGRICULTURE AND NATURAL RESOURCES

- 1.
- A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? **NONE**
 - B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ **NOT APPLICABLE**
 - C. Of those, how many were funded by a tobacco industry sponsor? **NOT APPLICABLE**

2. For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²

No proposals subject to RE-89's review/approval requirement for the reporting period.

3. Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.

No known research awards from tobacco industry sponsors during the reporting period.

¹ A copy of the Chancellor's written determination approving or disapproving submission of a proposal to seek funding from a tobacco industry sponsor is to have been sent to the researcher, the UC President, and the Regents, under RE-89.

² We will request that detailed information about any unfunded research proposals be kept internal, following usual University practice and applicable rules regarding public record.

RE-89 IMPLEMENTATION REPORT: University of California, Berkeley

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: BERKELEY	
1.	<p>A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p>B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p>C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>
2.	<p>For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²</p> <p align="center">No proposals subject to RE-89's review/approval requirement for the reporting period.</p>
3.	<p>Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.</p> <p align="center">No known research awards from tobacco industry sponsors during the reporting period.</p>

¹ A copy of the Chancellor's written determination approving or disapproving submission of a proposal to seek funding from a tobacco industry sponsor is to have been sent to the researcher, the UC President, and the Regents, under RE-89.

² We will request that detailed information about any unfunded research proposals be kept internal, following usual University practice and applicable rules regarding public record.

RE-89 IMPLEMENTATION REPORT:

University of California, Davis

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: DAVIS	
1.	<p>A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p>B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p>C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>
2.	<p>For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²</p> <p align="center">No proposals subject to RE-89's review/approval requirement for the reporting period.</p>
3.	<p>Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.</p> <p align="center">No known research awards from tobacco industry sponsors during the reporting period.</p>

¹ A copy of the Chancellor's written determination approving or disapproving submission of a proposal to seek funding from a tobacco industry sponsor is to have been sent to the researcher, the UC President, and the Regents, under RE-89.

² We will request that detailed information about any unfunded research proposals be kept internal, following usual University practice and applicable rules regarding public record.

RE-89 IMPLEMENTATION REPORT: University of California, Irvine

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: IRVINE							
<p>1.</p> <p style="margin-left: 40px;">A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p style="margin-left: 40px;">B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p style="margin-left: 40px;">C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>							
<p>2. For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2011-12), please provide the following information.²</p> <p align="center">No proposals subject to RE-89's review/approval requirement for the reporting period.</p>							
<p>3. Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.</p>							
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2" style="padding: 5px;">Title: A Novel Nonselenocystenic Phospholipid Glutathione Peroxidase Mediating Oxidative Stress Serves as a Prognostic Biomarker for Breast Cancer</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Sponsor: Phillip Morris USA Inc.</td> </tr> <tr> <td style="width: 50%; padding: 5px;"> Award Period: 07/08/2005 - 07/07/2013 Cumulative Award Amount: \$883,471 Remaining funds to be expended: \$413,131 </td> <td style="width: 50%; padding: 5px;"> Subject to RE-89 review? No <i>Continuing projects begun before September 20, 2007 were not subject to RE-89 review/approval requirements.</i> </td> </tr> </table>		Title: A Novel Nonselenocystenic Phospholipid Glutathione Peroxidase Mediating Oxidative Stress Serves as a Prognostic Biomarker for Breast Cancer		Sponsor: Phillip Morris USA Inc.		Award Period: 07/08/2005 - 07/07/2013 Cumulative Award Amount: \$883,471 Remaining funds to be expended: \$413,131	Subject to RE-89 review? No <i>Continuing projects begun before September 20, 2007 were not subject to RE-89 review/approval requirements.</i>
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¹ A copy of the Chancellor's written determination approving or disapproving submission of a proposal to seek funding from a tobacco industry sponsor is to have been sent to the researcher, the UC President, and the Regents, under RE-89.

² We will request that detailed information about any unfunded research proposals be kept internal, following usual University practice and applicable rules regarding public record.

RE-89 IMPLEMENTATION REPORT: University of California, Los Angeles

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: LOS ANGELES							
<p>1.</p> <p style="margin-left: 40px;">A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p style="margin-left: 40px;">B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p style="margin-left: 40px;">C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>							
<p>2. For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²</p> <p align="center">No proposals subject to RE-89's review/approval requirement for the reporting period.</p>							
<p>3. Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.</p> <p align="center">[Delete below table if there are no awards to report]</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td colspan="2" style="padding: 5px;">Title: Adolescent Smoking Cessation Center</td> </tr> <tr> <td colspan="2" style="padding: 5px;">Sponsor: Philip Morris USA Inc.</td> </tr> <tr> <td style="width: 50%; padding: 5px; vertical-align: top;"> Award Period: 09/01/2006 - 12/30/2012 Cumulative Award Amount: \$8,000,000 Remaining funds to be expended: \$44,155 </td> <td style="width: 50%; padding: 5px; vertical-align: top;"> Subject to RE-89 review? No - funding was reviewed in 2010 as reported last year. <i>Continuing projects begun before September 20, 2007 were not subject to RE-89 review/approval requirements.</i> </td> </tr> </table>		Title: Adolescent Smoking Cessation Center		Sponsor: Philip Morris USA Inc.		Award Period: 09/01/2006 - 12/30/2012 Cumulative Award Amount: \$8,000,000 Remaining funds to be expended: \$44,155	Subject to RE-89 review? No - funding was reviewed in 2010 as reported last year. <i>Continuing projects begun before September 20, 2007 were not subject to RE-89 review/approval requirements.</i>
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² We will request that detailed information about any unfunded research proposals be kept internal, following usual University practice and applicable rules regarding public record.

RE-89 IMPLEMENTATION REPORT: University of California, Merced

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: MERCED	
1.	<p>A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p>B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p>C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>
2.	<p>For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²</p> <p align="center">No proposals subject to RE-89's review/approval requirement for the reporting period.</p>
3.	<p>Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.</p> <p align="center">No known research awards from tobacco industry sponsors during the reporting period.</p>

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² We will request that detailed information about any unfunded research proposals be kept internal, following usual University practice and applicable rules regarding public record.

RE-89 IMPLEMENTATION REPORT: University of California, Riverside

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: **RIVERSIDE**

1.

- A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? **NONE**
- B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ **NOT APPLICABLE**
- C. Of those, how many were funded by a tobacco industry sponsor? **NOT APPLICABLE**

2. For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²

No proposals subject to RE-89's review/approval requirement for the reporting period.

3. Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.

No known research awards from tobacco industry sponsors during the reporting period.

¹ A copy of the Chancellor's written determination approving or disapproving submission of a proposal to seek funding from a tobacco industry sponsor is to have been sent to the researcher, the UC President, and the Regents, under RE-89.

² We will request that detailed information about any unfunded research proposals be kept internal, following usual University practice and applicable rules regarding public record.

RE-89 IMPLEMENTATION REPORT: University of California, San Diego

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: SAN DIEGO	
1.	<p>A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p>B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p>C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>
2.	<p>For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²</p> <p align="center">No proposals subject to RE-89's review/approval requirement for the reporting period.</p>
3.	<p>Provide titles, sponsor, and award amounts for all known research awards from tobacco industry sponsors at your campus active as of close of FY 2012 (June 30, 2012). Include not only awards captured in sections 1 and 2 above, but also active awards begun prior to passage of RE-89 (begun before 09/20/2007), and therefore not subject to RE-89's new review/approval requirements.</p> <p align="center">No known research awards from tobacco industry sponsors during the reporting period.</p>

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RE-89 IMPLEMENTATION REPORT: University of California, San Francisco

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: SAN FRANCISCO	
1.	<p>A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p>B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p>C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>
2.	<p>For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²</p> <p align="center">No proposals subject to RE-89's review/approval requirement for the reporting period.</p>
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RE-89 IMPLEMENTATION REPORT: University of California, Santa Barbara

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: **SANTA BARBARA**

- 1.
- A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? **NONE**
 - B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ **NOT APPLICABLE**
 - C. Of those, how many were funded by a tobacco industry sponsor? **NOT APPLICABLE**

2. For any research proposals identified in the previous section above (i.e., any research proposals subject to RE-89's review/approval requirements for FY 2012), please provide the following information.²

No proposals subject to RE-89's review/approval requirement for the reporting period.

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No known research awards from tobacco industry sponsors during the reporting period.

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RE-89 IMPLEMENTATION REPORT:

University of California, Santa Cruz

RE-89 Implementation Report for Fiscal Year 2012 (July 1, 2011 - June 30, 2012)

Location: SANTA CRUZ	
1.	<p>A. During Fiscal Year 2012, how many research proposals (if any) at your campus were submitted to the scientific review committee to be established under RE-89, for review prior to submission to a tobacco industry sponsor? NONE</p> <p>B. Of those, how many did the Chancellor approve for submission by the campus to a tobacco industry sponsor?¹ NOT APPLICABLE</p> <p>C. Of those, how many were funded by a tobacco industry sponsor? NOT APPLICABLE</p>
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