

Efforts to Have the University of California Decline Tobacco Industry Funding of Research

Based on academic research and legal evidence, faculty and administrations at leading universities in the United States and around the world have made the decision to no longer accept funding from the tobacco industry. As part of this global trend, since 2001 faculty members at the University of California have been addressing the issue of tobacco industry funding of research. When the discussions began, as elsewhere, policy efforts were focused at individual academic units of health science schools. By mid-2004, seven academic units on four UC campuses adopted policies to decline funding from the tobacco industry in order to protect the integrity of their academic units. In May 2004, these seven policies were voided by President Robert Dynes, citing a resolution of the Assembly of the Academic Senate.¹ Faculty from around the UC system protested that this position was not properly circulated before the Senate adopted it, resulting in the Senate position being modified in May 2005 to “a unit of the University may not refuse to process, accept, or administer a research award based on the source of the funds; nor may such a unit encumber a faculty member’s ability to solicit or accept awards based on the source of the funds, *except as directed by the UC Board of Regents.*” The 2005 resolution took no position on what decision the Regents should make.

As a result of the May 2005 Academic Assembly resolution, efforts to convince UC to decline tobacco industry funding shifted to the UC Board of Regents. In September 2006, the issue was introduced to the Regents as a discussion item. Following the discussion, the Regents asked the Academic Senate to take a position on the tobacco industry funding. The Academic Senate reported back to the Regents in November 2006 with three resolutions the Assembly adopted that did not make a recommendation to the Regents on what to do. In January 2007, the issue was again brought before the Regents as an action item. After a lively discussion, the Regents adopted a motion to get further clarification from the faculty on the issue at its May, 2007 meeting. At their September 2007 meeting, the Regents adopted a revised version of RE89. The policy adopted allows for UC researchers to accept tobacco industry funding for research but only after their grant proposal has been reviewed by a scientific committee and approved by the campus Chancellor.

The following timeline is a comprehensive history of the efforts to address the issue of tobacco industry funding at UC since 2001. The timeline includes links to materials available online. All materials that are not available online can be obtained from Kim Homer Vagadori at kim@cyanonline.org or (916) 339-3424 x22. For additional information on this issue, please visit www.academic-integrity.com and <http://www.ucsf.edu/senate/townhallmeeting/index.html>.

Please note that this document is a work in progress. Please send all changes, additions, and comments to kim@cyanonline.org.

This document was created by the Campaign to Defend Academic Integrity.
www.academic-integrity.com

¹ The Academic Senate represents the faculty in the shared governance of the University of California. The Assembly is authorized to consider any and all matters of concern to the Senate as a whole and has the power to take final action on all legislation substantially affecting more than one Division.

Timeline

2008

- February 11 Office of the President sends UC Chancellors materials to facilitate implementation of RE-89. [[PDF](#)]
- February 9 Los Angeles Times features a story on the UCLA Adolescent Smoking Cessation Center grant. [[Article](#)]

2007

- October 10 UCLA releases a new copy of the Adolescent Smoking Cessation Center grant proposal along with correspondence between UCLA and Philip Morris. [[UCLA grant](#)] [[Funding Agreement](#)] [[Exhibits](#)] [[Correspondence](#)]
- September 20 Regents adopt a revised version of RE-89. The Regents voted to continue accepting tobacco industry funding for scientific research but such funding will require more oversight. [[PDF](#)] [[Agenda](#)] [[Minutes](#)]
- September 20 San Francisco Chronicle features a story on the redacted UCLA Adolescent Smoking Cessation Center grant. [[Article](#)]
- September 14 UCLA releases the heavily redacted Adolescent Smoking Cessation Center grant proposal. A hardcopy of the document was received on 9/17/07. [[Grant Proposal](#)]
- August 30 UCLA releases the contractual agreement between UCLA and Philip Morris USA to support research at the Adolescent Smoking Cessation Center.
- August 28 UCLA and the UC Office of the President were contacted by Regent Blum's Office regarding disclosure of the Adolescent Smoking Cessation Center.
- August 20 Receive letter dated 8/15/07 from UCLA stating that the Adolescent Smoking Cessation Center grant was exempt from disclosure.
- August 13 Letter sent to Regents Blum and Moores regarding difficulties in receiving a copy of the Adolescent Smoking Cessation Center grant.
- July 26 Formal request sent to UCLA under the California Public Records Act for a copy of the Adolescent Smoking Cessation Center grant.
- July 24 Informal request made via phone to UCLA's Office of Contracts and Grants for a copy of the Adolescent Smoking Cessation Center grant. The request was not met.
- July 18 UC Regents discuss RE-89. No action was taken on the proposed policy. The Regents are discussing a compromise to RE-89 with the Office of the President and the Academic Council. [[Agenda](#)] [[Minutes](#)]

- June 21 The Sacramento News and Review features a cover story on tobacco industry funding at UC Davis. [[Article](#)]
- May 17 UC Regents vote to delay vote on RE-89. [[Agenda](#)]
- May 10 Second informal request sent to UCLA for information on the five active Philip Morris grants at UCLA. No response from UCLA.
- May 9 Academic Assembly meeting. [[Agenda](#)]
Assembly members vote against RE-89 (restricting UC acceptance of funding from the tobacco industry). Vote results on Academic Council recommendation: 43 in favor, 4 opposed, and 3 abstentions. [[Minutes](#)]
- May 4 Campaign to Defend Academic Integrity prints advertisement in Chronicle of Higher Education. [[PDF](#)]
- May 3 Letter sent to individual Regents by Campaign to Defend Academic Integrity regarding RE-89. Attachments included the letter to Regent Blum from Dean and Vice Chancellor David Kessler and former Director and Lead Counsel for the US Tobacco Litigation Team Sharon Eubanks and the Campaign advertisement in the Chronicle of Higher Education. [[PDF](#)]
- May 2 Email sent to the Principle Investigator of the UCLA Adolescent Smoking Cessation Center for information on the Center's work. The request for information was responded to the next day (May 3).
- May 1 Informal request made to UCLA via phone and email requesting information about the five Philip Morris-funded grants at UCLA.
- April 25 The Academic Council resolved: "The Academic Council recommends that the Assembly oppose RE-89."
- April 13 Responses and comments on RE-89 sent to the Academic Council from Senate committees and divisions.

[Systemwide Committee and Division Votes](#)
[Coordinating Committee on Graduate Affairs](#)
[University Committee on Academic Freedom](#)
[University Committee on Education Policy](#)
[University Committee on Faculty Welfare](#)
[University Committee on Research Policy](#)
[University Committee on Planning and Budget](#)
[University Committee on Privilege and Tenure](#)
[Academic Senate – Berkeley Division](#)
[Academic Senate – Davis Division](#)
[Academic Senate – Irvine Division](#)
[Academic Senate – Los Angeles Division](#)
[Academic Senate – Merced Division](#)
[Academic Senate – Riverside Division](#)

[Academic Senate – San Diego Division](#)
[Academic Senate – San Francisco Division](#)
[Academic Senate – Santa Barbara Division](#)
[Academic Senate – Santa Cruz Division](#)

- March 29 Letter sent from Dean and Vice Chancellor David Kessler and former Director and Lead Counsel for the US Tobacco Litigation Team Sharon Eubanks to Chairman Blum regarding tobacco industry funding of research at UC. [\[PDF\]](#)
- March 25 Letter sent from Professor Glantz to Regent Moores in response to the Academic Council working group's response to Regent Moores' January letter to Chair Oakley. [\[PDF\]](#)
(cc: Regent Blum, Regent Gould, Chair Oakley, Vice Chair Brown, Professor Croughan, Professor Crosby, Professor Max, Chancellor Bishop, President Dynes, Provost Hume, Professor Burns, Professor Powell, Professor Rashid, Divisional Chair Greenspan)
- March 21 Regent Moores writes an Op-Ed in the San Diego Union-Tribune regarding tobacco industry funding of research at UC. [\[PDF\]](#)
- March 19 Academic Senate Chair Oakley responds to Regent Moores with the Academic Council working group's response. [\[PDF\]](#)
(cc: Chairman Blum, Regent Gould, President Dynes, Provost Hume)
- March 12 The Academic Council's working group sends their response to Regent Moores' letter to Chair Oakley. [\[PDF\]](#)
- February 28 Academic Council meeting.
Council creates a working group comprised of five members to respond to Regent Moores' letter to Chair Oakley.
- February 26 RE-89 sent out to System-Wide Senate Committee Chairs and Divisional Senate Chairs for review and comment. All comments are requested back to the Academic Council by April 13, 2007. [\[PDF\]](#)
- February 14 The UC Academic Assembly discusses the Regents request for Senate action regarding RE-89. [\[PDF\]](#)
- January 23 Letter from Regent Moores to Chair Oakley soliciting the Academic Senate's input on a policy to decline tobacco industry funding for tobacco-related research. See page 45 of the following document: [\[PDF\]](#)
- January 18 Action item RE-89 is heard by the Committee on Finance. Regent Hopkinson made a motion to send the item back to the Academic Senate for further consideration and revisit the proposed policy in May 2007. The motion passes with a 7 yes, 1 no vote. [\[PDF\]](#)

2006

- December 21 ** Letter sent from the Campaign to Defend Academic Integrity to Provost Hume in response to his November 2, 2006 letter. [\[PDF\]](#)

- (cc: Regents, President Dynes, Chair Oakley, Acting Secretary Shaw, Vice Provost Coleman)
- December 18 ** Letter sent to the Campaign to Defend Academic Freedom by Regent Parsky in response to a fax sent to him on November 1, 2006. [\[PDF\]](#)
(cc: Regents, President Dynes, Chair Oakley, Acting Secretary Shaw, Vice Provost Coleman)
- December Regent John Moores requests an action agenda item for the January 2007 Regents meeting.
- November 27 Letter sent directly to Regent Richard Blum from Professor Glantz at Regent Blum's request regarding tobacco industry funding of research at UC. [\[PDF\]](#)
(cc: President Dynes, Provost Hume, Chair Oakley, Vice Chair Brown, Chancellor Bishop, Dean Kessler, UCSF Senate Chair Greenspan, Michael Honack, Kim Homer)
- November 16 Academic Senate Chair Oakley reports back to Board of Regents the three resolutions adopted by the Academic Assembly in October, 2006. [\[PDF\]](#)
- November 6 ** Letter sent to UC Regents by the American Medical Association (via Office of the Secretary of the Regents). [\[PDF\]](#)
(cc: Lieutenant Governor Bustamante, President Dynes, Chair Oakley).
- November 2 Letter sent to the Campaign to Defend Academic Integrity from Provost Hume on behalf of President Dynes in response to the September letter sent to President Dynes. [\[PDF\]](#)
(cc: President Dynes, Executive Vice President Darling, Vice Provost Coleman, Chair Oakley, Acting Secretary Shaw)
- November 1 Letter sent to Regent Parsky by the Campaign to Defend Academic Integrity requesting his support on a policy to deny tobacco industry funding of research. [\[PDF\]](#)
- November 1 ** Chair John Oakley sends a letter with the Senate's 3 statements to President Dynes asking him to transmit the letter to the Regents in time for distribution in connection with the oral report at the November meeting. [\[PDF\]](#)
(cc: Assembly of the Academic Senate, Executive Director Bertero-Barceló)
- October 17 ** Letter sent to Attorney General Bill Lockyer from Regent Parsky.
(cc: Regents, President Dynes, Provost Hume, Executive Vice President Darling, Chair Oakley, Acting Secretary Shaw)
- October 12 ** Letter sent to UC Regents by the American Cancer Society National Office (via Office of the Secretary of the Regents). [\[PDF\]](#)
(cc: Lieutenant Governor Bustamante, President Dynes, Chair Oakley)
- October 11 Academic Assembly meeting.
After an 85 minute debate, the Academic Assembly voted in favor of the Academic Council resolution by a 27 in favor and 16 against vote. At the end of the meeting, there was a 40 minute discussion on the issue that

- resulted in two additional statements. Both statements passed by a large majority. [\[PDF\]](#)
- October 3 Letter sent by Professor Glantz to fellow members of the Academic Assembly regarding tobacco industry funding of research.
- September 29 ** Letter sent to UC Regents from California Attorney General Bill Lockyer (via Office of the Secretary of the Regents). [\[PDF\]](#)
(cc: Lieutenant Governor Bustamante, President Dynes, Chair Oakley)
- September 27 Academic Council meeting.
Revised resolution on external research funding sources is adopted by a 12-5-1 vote. [\[PDF\]](#)
- September 20 Issue heard by the Committee on Educational Policy (proposed by Regent Bustamante). After discussion, the item was sent back to the Academic Senate for discussion and recommendation to the Regents. [\[PDF\]](#)
- September 19 ** 673 Californians send letters to Lt. Governor Bustamante thanking him for taking the issue of tobacco industry funding of research to the Board of Regents. [\[PDF\]](#)
(cc: Regents via email at regentsoffice@ucop.edu)
- September 15 ** Letter sent to UC Regents (via Office of the Secretary of the Regents) by the American Heart Association Western States Affiliate. [\[PDF\]](#)
- September 15 ** Letter sent to individual UC Regents from the American Cancer Society of California. [\[PDF\]](#)
- September 13 ** Letter sent to individual Regents by Campaign to Defend Academic Integrity with information about the 9/20/06 agenda item proposed by Regent Bustamante. [\[PDF\]](#)
(cc: Regent Bustamante, President Dynes, Provost Hume, Chair Oakley, Vice Chair Brown, Acting General Counsel Blair, Acting Secretary Shaw, Acting Treasurer Berggren)
- September 13 ** Email sent by Regent Bustamante's Office to Acting Secretary Shaw and Mary Jane Alpaugh to distribute to the full Board of Regents. [\[PDF\]](#)
- September 13 ** Letter sent to UC Regents by TERO. [\[PDF\]](#)
- September 12 Letter sent to Regent Bustamante from UCSF Professor Glantz regarding tobacco industry funding of research. [\[PDF\]](#)
(cc: President Dynes, Provost Hume, Chair Oakley, Vice Chair Brown, UCSF Chancellor Bishop, UCSF School of Medicine Dean Kessler, UCSF Vice Chancellor Spaulding)
- September 7 ** Letter sent to UC Regents (via Office of the Secretary of the Regents) by Americans for Nonsmokers' Rights. [\[PDF\]](#)

- August 25 ** Letter sent to UC Regents (via Office of the Secretary of the Regents) from the American Heart Association, the American Lung Association, and the Campaign for Tobacco-Free Kids. [PDF]
- August 24 Campaign to Defend Academic Integrity website launched. www.academic-integrity.com
- August 17 US District Court Judge Gladys Kessler finds several tobacco companies guilty of violating the Racketeer Influenced and Corrupt Organizations Act (RICO).
Excerpts: [PDF]
Complete Findings: [PDF]
- August 10 Regent Bustamante sends a letter to Acting Secretary of the Regents Anne Shaw requesting an agenda item for the September meeting. [PDF]
(cc: President Dynes, Executive Vice President Darling)
- August Online petition supporting a policy to deny tobacco industry funding of research is launched. [PDF]
- July 31 Lt. Governor / Regent Bustamante commits to introducing the issue to the Regents at the September meeting.
- May Meeting between the Campaign to Defend Academic Integrity and Lieutenant Governor Cruz Bustamante's office on the issue of tobacco industry funding of research.
- April ** Letters sent by the Campaign to Defend Academic Integrity² to individual Regents³ with information about the 2005 Assembly Resolution.
(cc: Chair Oakley)
Letter: [PDF]
Attachment: [PDF]

2005

- July 20 ** Letter sent to UC Regents (via Office of the Secretary of the Regents) from Americans for Nonsmokers' Rights. [PDF]
- June 14 ** Letter sent to UC Regents (via Office of the Secretary of the Regents⁴) from the American Heart Association, American Cancer Society, American Lung Association, and the Campaign for Tobacco-Free Kids urging them to decline tobacco industry funding. [PDF]
- May 11 Academic Assembly adopts the revised *Resolution on Restrictions on Research Funding Sources*. [PDF]

² The Campaign to Defend Academic Integrity is a collaborative movement by University of California community members and public health advocates campaigning for the adoption of research policies which protect the reputation and integrity of UC.

³ Letters sent to addresses listed on the Office of the President website. Letters sent to Regents without unique office addresses were sent to the Office of the Secretary of the Regents.

⁴ The Office of the Secretary of the Regents is housed in the UC Office of the President in Oakland, CA.

- March 31 Academic Council adopts revised *Resolution on Restrictions on Research Funding Sources* that says only the Regents can adopt policies to decline funding based on source. [\[PDF\]](#)
- March 14 Letter sent to UC Regents from the American Cancer Society urging them to prevent the Academic Council from adopting their original *Resolution on Restrictions on Research Funding Sources*. [\[PDF\]](#)
- January 10 UCSF Institute for Health Policy Studies adopts “no tobacco funding” policy.

2004

- November 17 Academic Council resolution sent to Divisional Chairs and Senate-Wide Committee Chairs. [\[PDF\]](#)
- November 15 Letter sent to Chair Blumenthal from the University Committee on Planning and Budget⁵ (UCPB) regarding the Council’s Resolution on Research Funding Sources. [\[PDF\]](#)
(cc: UCPB, Executive Director Bertero-Barcelo)
- October 20 Academic Council meeting.
Council unanimously agreed that the *Academic Council Resolutions on Restrictions on Research Funding Sources* should be sent out for general review by the systemwide Senate Standing Committees and the Divisions. [\[PDF\]](#)
- October 8 ** President Dynes sends letter to the Regents endorsing the *Academic Council Resolution on Restrictions on Research Funding Sources*. [\[PDF\]](#)
- October 4 Letter sent to Academic Council Chair George Blumenthal from several UC faculty protesting adoption of the *Academic Council Resolution on Restrictions on Research Funding Sources* without proper Senate review. [\[PDF\]](#)
- August 23** The Tobacco Education and Research Oversight Committee⁶ (TEROC) sends a letter to the UC Regents endorsing the UC Berkeley School of Public Health for adopting a policy denying tobacco industry funding for research. [\[PDF\]](#)
(cc: Chancellor Birgeneau, Dean Shortell, Academic Senate)
- July 23 Letter sent to President Robert Dynes from Academic Council Chair Lawrence Pitts regarding the *Academic Council Resolution on Restrictions on Research Funding Sources*. [\[PDF\]](#)

⁵ The University Committee on Planning and Budget (UCPB) is a committee of the Academic Senate. UCPB is responsible for discussing and acting on systemwide budgetary, planning, and resource allocation issues.

⁶ The Tobacco Education and Research Oversight Committee (TEROC) is a legislatively mandated advisory committee with the responsibility of overseeing the use of Proposition 99 tax revenues for tobacco control and prevention education and for tobacco-related research.

(cc: Academic Council, Provost and Senior Vice President of Academic Affairs
M.R.C. Greenwood, Vice Provost Lawrence Coleman)

- July 21 Academic Council⁷ adopts the *Academic Council Resolution on Restrictions on Research Funding Sources* without following the usual policy of soliciting comments from the campus Senate divisions and other Systemwide Senate committees. [[PDF](#)]
- July 9 The University Committee on Research Policy⁸ (UCORP) releases a report entitled “Problematic Restrictive Clauses, Contracts, Grants and Gifts for research” which criticizes “no tobacco funding” policies. [[PDF](#)]
- May 19 UC Los Angeles (UCLA) School of Nursing adopts “no tobacco funding” policy.
- May 14 UC Berkeley School of Public Health adopts “no tobacco funding” policy after almost an entire year of deliberation.
- March UCSD Cancer Center adopts “no tobacco funding” policy.

2003

- December UCSF Comprehensive Cancer Center adopts “no tobacco funding” policy.
- July 23 UCSF faculty Dr. Neil Benowitz and Dr. Stanton Glantz send letter to Vice Provost for Research Lawrence Coleman regarding tobacco industry funding of research. [[PDF](#)]
(cc: Chancellor Bishop, UCSF Senate Chair Bikle, UCSF Senate Vice Chair Zegans, Academic Council Chair Binion, Academic Council Vice Chair Pitts, Executive Vice Chancellor Kelley, Vice Chancellor Spaulding, Dean Debas, Dean Koda-Kimble, Dean Dracup, Dean Bertolami, Vice President Mullinix, Vice President Drake)
- January 17 UC San Diego (UCSD) Department of Family and Preventive Medicine adopts “no tobacco funding” policy.

2002

- September 25 UCSF Town Hall meeting on tobacco industry funding of research. [[PDF](#)]
- June 6 UC San Francisco (UCSF) faculty send letter and petition to Chancellor Michael Bishop requesting he work to enact a policy at UCSF to deny tobacco industry funding. [[PDF](#)]
(cc: Senate Chair Bikle, Chair of Committee on Academic Freedom, Vice Chancellors, Deans)

2001

⁷ The Academic Council is the administrative arm of the Assembly of the Academic Senate.

⁸ The University Committee on Research Policy (UCORP) is a committee of the Academic Senate. UCORP is responsible for fostering, formulating, coordinating, revising general research policies and procedures, and advising the President on research matters affecting the University.

- March 14 The Tobacco-Related Disease Research Program⁹ (TRDRP) Scientific Advisory Committee passed a motion recommending that principal investigators who have current tobacco industry funding should be ineligible for TRDRP funding. This recommendation was overruled by the President of the University.
- January UC Regents adopt policy to exclude securities of companies manufacturing tobacco products from index funds and to continue existing exclusions from actively managed funds. [\[PDF\]](#)

**** Correspondence sent to the full Board of Regents or to the Secretary of the Regents or the President to forward to the Regents.**

⁹ The Tobacco-Related Disease Research Program (TRDRP) is funded through Proposition 99 (the tobacco tax). The Legislature asked the University of California to establish and administer a research program to facilitate the elimination of smoking in California.

**Public Comment Presentations at Regents Meetings
Supporting a “No Tobacco Money” Policy**

<u>Date</u>	<u>Speakers</u>	<u>Materials to Secretary of the Regents</u>
November 4, 2004	3 speakers (2 alum, 1 student)	Speakers comments
November 18, 2004	3 speakers (2 alumni, 1 student)	Speakers comments
January 20, 2005	1 speaker (student)	Speakers comments
March 17, 2005	2 speakers (students)	Speakers comments
April 28, 2005	1 speaker (alumna)	Speakers comments
July 21, 2005	1 speaker (student)	Speakers comments
November 16, 2005	1 speaker (student)	Speakers comments
March 15, 2006	1 speaker (student)	Speakers comments
May 17, 2006	2 speakers (1 alumna, 1 student)	Speakers comments
September 20, 2006	8 speakers (2 faculty, 2 alumni, 1 student, 3 community members)	Petition signatures, DOJ ruling, letters of support, speakers comments
November 14, 2006	4 speakers (1 faculty, 2 alumni, 1 student)	Speakers comments
January 18, 2007	7 speakers (3 faculty, 1 alumna, 2 students, 1 community member)	Speakers comments
May 17, 2007	2 speakers (1 student, 1 alumna) *4 speakers scheduled, only two allowed to speak	Speakers comments
July 18, 2007	3 speakers (1 student, 2 alumni) *3 speakers scheduled, two allowed to speak	Speakers comments
September 19, 2007	3 speakers (3 students)	Speakers comments
September 20, 2007	9 speakers (6 students, 3 alumni) *11 speakers scheduled, nine allowed to speak	Speakers comments, UCLA Adolescent Smoking Cessation Grant Proposal
March 19, 2008	1 speaker (student)	