

The UC Office of the President (UCOP) invests¹ in a limited number of systemwide research programs and facilities to serve UC-wide needs and strengthen research capacities throughout the UC system. The overall objective of the Portfolio Review Group (PRG) is to help optimize the investments in this portfolio given constraints on overall funding capacity. The PRG should:

- 1) Provide advice to the Vice President of Research and Graduate Studies (Vice President) on the overall value and unique purpose of the systemwide research portfolio to the University and the State of California.
- 2) Provide recommendations on how to improve UC's return on current investments. This includes recommending changes to the configuration and investment levels in the programs within the portfolio.
- 3) Advise the Vice President about strategies for growing or evolving UC investments in systemwide research to strengthen and/or balance the research portfolio.

The PRG will provide written reports to the Vice President. Final decisions about investments in research will be made by the UC President, in consultation with the UC Provost and Vice President. Recommendations will be made available to the UC community to ensure transparency about systemwide research funding.

The PRG will be responsible for carrying out the following principle tasks:

- 1) Develop working definitions and indicators for the Principles for Systemwide Research Investments (Systemwide Principles) provided by the Vice President (see attached).
- 2) Utilize the Systemwide Principles, and the working definitions and indicators (referenced above), to carry out an evaluation of the systemwide research portfolio based on information provided by Program Directors, program reviews and UCOP analyses. The committee may request additional information, from Program Directors or UCOP staff, as needed. The committee should consider both the overall performance of the portfolio in delivering value based on the Systemwide Principles and the relative value of individual research investments compared to the dollars invested. Based upon this evaluation, the committee will provide recommendations to the Vice President on priorities and adjustments within the current mix of research investments.
- 3) Consider and recommend long-term strategies for maintaining a vibrant and well-balanced research portfolio that is responsive to the needs of the University and State. Based on the Systemwide Principles, the committee should consider different approaches to identifying and evaluating new opportunities and/or areas for growth. The committee may also consider different models for funding or project competition and selection.

Additional tasks:

- 4) During the course of its deliberations, the committee should develop suggestions for more effective strategic directions and management of individual portfolio programs. These suggestions should be noted and communicated to the Vice President as appropriate.

PRG Membership:

- A) Composition: Members will be appointed by the Vice President from a slate of faculty nominees drawn from across the UC system; administrators from the campuses and UCOP; and individuals not employed by UC (External), as deemed necessary by the Vice President. Committee membership shall be maintained at approximately 50% academic faculty and 50% administrative members.
- B) Nominations: The Vice President will select administrators and external members from nominations from campus chancellors, taking into account representation by a broad range of roles and academic disciplines on and an emphasis on individuals with a deep knowledge of research (e.g. Vice Chancellors for Research). The Vice President will work with the Chair of the Universitywide Academic Senate to solicit nominations for faculty members.

¹ In FY2012-13, UCOP invested close to \$85 million of UC's funds to support programs within the UC systemwide research portfolio.

ATTACHMENT A: Addendum to PRG Charge: Deliverables for Founding Committee Cycles

In the initial founding term (Cycle 1) of the PRG, the committee will be charged with completing the following specific tasks and deliverables by June 30, 2013:

- 1) Carry out an evaluation on an initial set of research programs assigned to the systemwide research portfolio and use that experience to refine the working definitions, indicators, and process. Provide a report that summarizes how well the current portfolio provides value to the UC system, based on the Systemwide Principles provided below. The report should assess the alignment or “fit” of each research program individually, and the portfolio, as a whole. The committee may recommend some programs as “well-aligned” with Systemwide Principles, and may note others of questionable fit, based on the information provided. These latter programs may require more investigation. The committee is invited to recommend a process for further investigation of these programs, or specific questions they would like to ask of Program Directors. NOTE: Additional research programs may be included in the systemwide research portfolio as the committee’s work progresses.
- 2) Based on experience gained in the first cycle of evaluations, develop, refine and implement an annual process for evaluation of overall quality and appropriateness of the components of the systemwide research portfolio.

ATTACHMENT B: Principles of Systemwide Research Investments

The Vice President of Research and Graduate Studies charges the PRG with the following Systemwide Principles to help guide its work. These principles were derived from the work of a joint task force of UCOP, Academic Senate and campus administrators (the PPA Task Force) which convened in FY2011-12 to discuss a framework to guide future decision-making and evaluation of research investments.

Each UC campus has a unique and competitive research enterprise that is responsive to its faculty and students, and to its sponsors and stakeholders in research. As a ten-campus public university system, however, UC has unique opportunities and responsibilities to invest in research that is different and beyond what can be done on a single campus. In addition to the objective of supporting research of the highest quality and impact, the following three principles define the goals and purpose that drive and distinguish UC-wide research investments.

1. Principle #1: Act as one system of multiple campuses to enhance UC’s research capacity, influence and advantage.

With ten campuses, three national laboratories, state-wide resources and networks, the UC system offers researchers access to opportunities and a competitive advantage that a single campus cannot provide on its own. Acting as a network of multiple campuses, UC can invest in efforts that bring the best and most diverse minds together to define challenges, secure funding, and solve significant problems. This provides more opportunities for UC’s world-class faculty and creates larger and stronger collaborative resources and networks that can enhance the entire research community.

2. Principle #2: Promote efficient inter-campus collaborations and systemwide economies of scale.

Finding ways for UC researchers and administrators to cross campus boundaries and work together effectively is a key goal of UC-wide investments. Not only does this generate energy and ideas among UC researchers across the system, but it leads to shared innovation and efficiencies in how we conduct and manage research, resulting in savings or financial gains that can be reinvested in UC-wide research.

3. Principle #3: Serve the State of California.

As California’s research university, we implement research on behalf of the state in a fair and impartial basis. UC research has a unique capability to address many of the greatest challenges facing California today. UC seeks to create and grow industries that support California regional economies and to educate a culturally literate, knowledgeable workforce that will continue to lead the growth of California and optimize the State’s return on its investment in UC.