

PORTFOLIO REVIEW GROUP  
MEETING MINUTES  
INAUGURAL MEETING ON JANUARY 17-18<sup>TH</sup>, 2013

STATUS.

The following minutes are presented the Portfolio Review Group (PRG) for comment and approval.

PRG MEMBERS PRESENT:

- Paul Gray, Chair
- Erin Gore, UC Berkeley
- Harris Lewin, UC Davis
- Timothy Tangherlini, UC Los Angeles
- John Hemminger, UC Irvine
- Steve Olsen, UC Los Angeles
- Juan Meza, UC Merced
- Robert Clare, UC Riverside
- Marylynn Yates, UC Riverside
- Sandra Brown, UC San Diego
- David Stuart, UC Santa Barbara
- Tyrus Miller, UC Santa Cruz
- Susan Gillman, UC Santa Cruz (day one only)
- Keith Yamamoto, UC San Francisco
- Tejal Desai, UC San Francisco (day two only)

PRG MEMBERS ABSENT:

- Michael Kleeman, UC Davis
- Michael Witherell, UC Santa Barbara

The meeting was held over one and a half days (January 17-18, 2013) at in the Franklin Building at the Office of the President in Oakland, CA.

DAY ONE:

Chair Gray opened the meeting on the first half-day with a welcome and round the table introductions.

Brief overviews were provided by UCOP staff on the UCOP budget and PPA Task Force, as background for the work of the committee. Presentations were followed by Q&A.

REQUEST FOR INFORMATION. The committee requested further details on UCOP research budgets.

VP Beckwith then presented a charge to the committee. Chair Gray led a detailed discussion of the charge, wherein VP Beckwith was available to answer questions.

APPROVAL. After detailed discussion, the PRG committee accepted the charge with no requested amendments or changes. See attached final charge.

Chair Gray then led a discussion of member roles and ground rules for the committee. The committee discussed and agreed to the following guidelines:

- Members are asked to participate on this committee as “UC Citizens” representing the interests of UC as a whole rather than those of a particular campus, discipline, faculty or administrative group.
- Members should treat confidentiality in the committee’s work with the same sensitivity afforded to any peer-review panel or campus budget committee.
- Communications between the committee and the directors of programs under review shall be mediated by UCOP staff. Direct discussion of the committee’s work between individual PRG members and directors should be avoided in order to maintain the integrity of the review process.
- The Committee will provide regular updates on its progress in the form of meeting minutes, and will issue its final recommendations in a public report.

Chair Gray adjourned the first day 30 minutes early. The committee agreed to move back the start time for Day Two to 8:30am.

DAY TWO:

Chair Gray began day two with a recap of the previous day’s discussions and actions.

The Committee then held a detailed discussion of the Principles, Objectives and Considerations for Systemwide Research Investments. Revisions were suggested, and a small drafting group was formed to craft revisions and present them for discussion/approval later in the day (see \* below).

UCOP staff provided an introductory overview of the portfolio of research programs to be reviewed, followed by Q&A.

UCOP staff provided an overview of the project plan and timeline for the remainder of the current academic year, followed by Q&A.

\*The Committee reviewed and discussed revisions to the Principles, Objectives and Considerations made by the drafting group convened earlier in the day.

APPROVAL. After further discussion the Committee agreed to adopt the Revised Principles, Objectives and Considerations (see attached) for use in the first cycle of review.

ACTION. The Committee requests revisions to the Principles, Objectives and Considerations be communicated to Program Directors by UCOP staff in a timely manner.

The Committee discussed conflicts of interest and how they might be handled.

Chair Gray adjourned the meeting, and thanked committee members and staff.

The UC Office of the President (UCOP) invests<sup>1</sup> 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.

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<sup>1</sup> 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.

## Considerations for Conducting the Principle Alignment Review

REVISED BY PORTFOLIO REVIEW GROUP ON 01-18-2013

<b>Principle #1: Act as one system of multiple campuses to enhance UC's research capacity, influence and advantage.</b>	
<b>Objective</b>	<b>Considerations</b>
1. Provide UC faculty and students with access to unique facilities, resources, and/or opportunities that sustain and extend UC's competitive advantage.	1. What opportunities, resources or facilities provided by the program can uniquely leverage UCOP funds to position UC as a world leader in research, scholarship and/or creative work?
	2. What is the scope of access to these unique systemwide opportunities, resources or facilities for UC faculty, students and researchers? How does it go beyond that which could be achieved through a single campus initiative or activity?
	3. How do the unique systemwide opportunities provided by program help attract and retain faculty, researchers, technical staff and students, significantly enhancing campus recruitment/retention efforts?
2. Enable successful competition for sponsored research projects and grants for which proposals from a single campus would be substantially less competitive.	1. How does the program enable successful competition for sponsored research projects and grants for which proposals from a single campus would be substantially less competitive?
	2. How does the program's approach to research project development and research project collaboration build systemwide engagement, consensus and support that encompasses (and benefits) multiple campuses?
<b>Principle #2: Promote efficient inter-campus collaborations and systemwide economies of scale.</b>	
<b>Objective</b>	<b>Considerations</b>
1. Ensure efficient operation/management of shared research, facilities, systems, and/or staff.	1. How does the program operate/manage systemwide shared research resources, facilities, systems, and/or staff more efficiently than might be managed by a single campus program or initiative?
	2. Is the program's operational efficiency periodically evaluated and how are recommendations for improvement implemented?
2. Demonstrate systemwide engagement and collaboration beyond that present on a single campus.	1. How does the program regularly engage multiple campuses to encourage and identify opportunities for collaborations and broader participation that can extend and leverage UC's existing research expertise and resources across UC campuses?
	2. How does the program engage additional UC campuses, similar programs, and/or external organizations to promote collaboration, share administrative functions, and avoid duplication of effort to achieve higher efficiencies?

## Considerations for Conducting the Principle Alignment Review

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<b>Principle #3: Serve the State and citizens of California.</b>	
<b>Objective</b>	<b>Considerations</b>
1. Collectively impact Californians through research addressing current and emerging issues of strategic importance to the state	1. How does the program demonstrate UC's commitment to public outreach and inclusion, citizen engagement, and broader public education?
	2. How does the program deliver significant impacts, either locally or across California, in economic, social, environmental, energy, health, security, and/or other area of public interest?