

PORTFOLIO REVIEW GROUP  
MEETING MINUTES  
SEPTEMBER 20, 2013

STATUS: These minutes are presented as a record of the fourth meeting of the Portfolio Review Group (PRG).

PRG MEMBERS PRESENT:

1. Paul Gray, Chair
2. Michael Kleeman, UC Davis
3. Steve Olsen, UC Los Angeles
4. Timothy Tangherlini, UC Los Angeles
5. Juan Meza, UC Merced
6. Robert Clare, UC Riverside
7. Harris Lewin, UC Davis
8. John Hemminger, UC Irvine
9. Sandra Brown, UC San Diego
10. David Stuart, UC Santa Barbara
11. Michael Witherell, UC Santa Barbara
12. Tyrus Miller, UC Santa Cruz
13. Susan Gillman, UC Santa Cruz

PRG MEMBERS ABSENT:

1. Marylynn Yates, UC Riverside
2. Keith Yamamoto, UC San Francisco
3. Tejal Desai, UC San Francisco

UCOP STAFF PRESENT:

1. Dorothy Miller, Project Lead
2. Debbie Shen, Support Staff

The fourth meeting of the PRG was held on September 20 in the Franklin Building of the Office of the President in Oakland, CA. Chair Gray opened the meeting at 10:00am and thanked the members for attending. In his welcoming announcements, Chair Gray told the committee that Erin Gore, UC Berkeley, was no longer on the committee. Her replacement has not been identified yet.

The committee heard an update from Vice President for Research and Graduate Studies, Dr. Stephen Beckwith, on the upcoming opportunities for PRG input and the impact of the [Interim Report of the Portfolio Review Group: 2012-2013 University of California Systemwide Research Portfolio Alignment Assessment](#).

The committee discussed the need to examine the funding balance across the portfolio earlier than previously planned.

APPROVAL: The committee agreed to delay the alignment assessment discussed during the May 2013 PRG meeting (see May 2013 meeting minutes) and examine the funding balance across the portfolio this fall.

The committee discussed the process for examining funding balance across the portfolio recommended by the PRG Subcommittee on Funding Balance. Revisions to the recommended process were suggested and agreed to by the group.

APPROVAL: A vote was taken and attending members agree to adopt and implement the process for examining funding balance across the portfolio with the requested revisions.

ACTION. The committee requested that the process for examining funding balance across the portfolio (with revisions) be discussed with absent members for their review and approval. Upon approval by all members, the process will be implemented.

The committee discussed the potential contribution to committee discussions by PRG members who have been recused from evaluating specific programs.

APPROVAL: After discussion, the committee agreed to minor revisions to the PRG Conflict of Interest Policy.

Dr. Jenny Gautier, Deputy to the Vice President for Research and Graduate Studies discussed the systemwide funding context for the research portfolio. Dr Dorothy Miller, PRG Project Lead, presented the material available for the funding balance evaluation.

Chair Gray adjourned the meeting at approximately 3:00pm and thanked committee members and staff.

**CONFLICTS OF INTEREST**

Updated 2013-09-23

Conflicts of interest exist when a review committee member can be viewed as being in a position to gain or lose personally, professionally, or financially (including for commercial reasons) from a research program under consideration by the Portfolio Review Group (PRG). In order to ensure that the fairness and objectivity of the reviews are not compromised by such conflicts, the guiding principle of University of California is to avoid both actual and perceived conflicts.

PRG members must identify and declare potential conflicts of interest (or their appearance), and may be asked to recuse themselves from the ~~discussion and~~ scoring of program summaries for which a potential conflict has been identified. A group member should notify the PRG chair and UCOP staff immediately upon identifying a potential conflict. If a conflict arises at the meeting, the member should notify the Chair, who may then ask the member to ~~recuse him/herself from the discussion of the program in question and~~ abstain from the scoring of that program.

There are two primary categories in which conflict may occur:

**PRG Member Personally Engaged with Program or Department Under Consideration by PRG:** If the PRG member is named as an affiliated faculty or staff, is engaged in the oversight of the program (e.g. sits on executive boards, has direct reporting line to or from the program), has received funding, or expects to hold some appointment or position with the research program under consideration by the PRG or holds an appointment in a department that would participate in the research program under consideration by PRG, there is a *prima facie* conflict. PRG members would be recused from ~~participating in such discussions~~ **scoring these programs** and would instead be assigned to lead or participate in discussions on research programs from other departments or research units.

**PRG Member Has a Relationship with Program:** A conflict is considered to exist if the group member has a professional or close personal relationship with the Program Director or other primary member of the research program team. Examples of this category include **but are not limited to:**

- A PRG member's spouse or registered domestic partner, family member, business partner, is named in the program summary as affiliated faculty or staff, or the member is aware that this person will be invited to join the staff under specific circumstances.
- The PRG member and key program personnel have co-authored a peer-reviewed publication within the last five years.
- At the time of the PRG meeting, the PRG member and key program personnel are actively collaborating, or are planning to collaborate on other research.
- In the recent past, the PRG member and key program personnel had a close professional relationship, e.g., advisor/student, postdoctoral mentor/fellow.

**You will be required to sign a form disclosing any potential conflicts of interest you might have in evaluating research programs within the UCOP Research Portfolio.**

*Thank you for agreeing to serve as a member of the Portfolio Review Group for the University of California. Please contact Debbie Shen, PRG Project Lead, if you have any questions ([Debbie.Shen@ucop.edu](mailto:Debbie.Shen@ucop.edu)).*