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1111 Franklin Street, 12th Floor  
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April 15, 2011

**LAWRENCE PITTS, PROVOST AND EVP  
UNIVERSITY OF CALIFORNIA**

**Re: Recommendations for the Governance of Multicampus Research Entities**

Dear Larry:

At its meeting on March 30, the Academic Council endorsed the enclosed recommendations for the governance of multicampus research entities (16 in favor, 1 opposed, 1 abstention) and requested that these guidelines be referred to the Academic Planning Council.

As you know, the Compendium section on MRUs was tabled for further discussion during the recent review and revision of that document. In July 2010, Council asked UCORP to develop a set of guidelines to address the governance of multicampus research entities. Working closely with staff from the Office of Research and Graduate Studies, UCORP addressed the range of multicampus research entities covered in the enclosed document. Its purpose is to serve as guidance for revising the policies governing multicampus research entities contained in the Compendium and relevant Regents' policies.

UCORP recommends categorizing multicampus research entities in two ways: as Multicampus Research Units, with long-term research horizons, and Multicampus Research Programs, which are shorter-term research projects fully or partially funded by UCOP and limited to two funding cycles. MRPs could apply to be reconstituted as MRUs should their research programs warrant it. In addition, UCORP proposes expanding eligibility to serve as director of an MRU to any Academic Senate member, including non-tenured faculty and Professors of Clinical X, who are barred from that role under current Regents' policy. UCORP also proposes streamlining the review, approval and disestablishment processes for MRUs. Please note that these recommendations do not encompass CallISIs or externally funded Intercampus Research Programs

Council requests that these recommendations be reviewed at the next meeting of the Academic Planning Council and that UCORP and the administration work together to draft language for the Compendium governing multicampus research entities.

Sincerely,



Daniel L. Simmons, Chair  
Academic Council

Copy: Steven Beckwith, VP, Research and Graduate Studies  
Daniel Greenstein, Vice Provost, Academic Planning, Programs, and Coordination  
Todd Greenspan, Director, Academic Planning, Programs, and Coordination  
Rebecca Landes, Planning Analyst, Academic Planning, Programs, and Coordination  
Academic Council  
Martha Winnacker, Academic Senate Executive Director

Encl.



UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)  
Phokion Kolaitis, Chair  
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March 15, 2011

**DAN SIMMONS, CHAIR  
ACADEMIC COUNCIL**

**RE: Revised MRU Guidelines**

Dear Dan,

The University Committee on Research Policy (UCORP) had been charged by the Academic Council last July to examine the current policies governing multi-campus research entities and to develop a set of guidelines for the governance of such entities. After extensive deliberations and in-depth discussions since the beginning of the current academic year, UCORP has now approved the enclosed revised guidelines for multi-campus research entities in the UC system. In addition to the detailed guidelines, our report includes a summary of our recommendations and a background section which outlines some of the investigations and consultations UCORP undertook in preparing this document. I am happy to present an overview of the guidelines to the Council and explain the rationale for our recommendations, if doing so would be helpful.

Sincerely,

A handwritten signature in cursive script that reads "Phokion Kolaitis". A long horizontal line extends from the end of the signature to the left.

Phokion Kolaitis, Chair  
UCORP

cc: UCORP  
Martha Winnacker, Executive Director, Systemwide Academic Senate

## **UCORP Recommendations for the Governance of Multicampus Research Entities**

**March 14, 2011**

### **Background**

In July of 2010, the Academic Council charged the 2010-11 University Committee on Research Policy (UCORP) to “examine the policies governing multicampus research efforts, as well as the Regents’ policy on ORUs, and make recommendations for the governance of these entities.” At present, these research efforts are covered by Regents Policy 2307, (<http://www.universityofcalifornia.edu/regents/policies/2307.html>), which was approved on November 19, 1993 as a revision of a prior Regents’ policy from 1971. Regents Policy 2307 covers both Organized Research Units (ORUs) and Multicampus Research Units (MRUs). As regards MRUs, the salient points of this policy are as follows:

- Authority for establishment/review/disestablishment rests with the President.
- Directors are appointed by the President; Directors must be tenured members of the faculty.
- Review is required for establishment; a periodic review is required for continuance.
- Funding may be intramural, extramural, or both.

The 1999 “Compendium” spells out the administrative policies and procedures for MRUs (<http://www.ucop.edu/ucophome/coordrev/policy/12-07-99att.pdf>). In particular, the Compendium stipulates the following policies and procedures:

- At least two campuses must be involved in an MRU.
- The Director of an MRU may receive a stipend.
- MRUs are reviewed at intervals of five years or less by an ad hoc review committee.
- All MRUs must establish a rationale for continuance, in terms of scholarly or scientific merit and University priorities, at fifteen year intervals.

Over the years, several different categories of multicampus research entities other than MRUs have emerged in the UC system. Some, such as the Multicampus Research Programs (MRPs), are the result of past initiatives from the Office of the President; others, such as the Intercampus Research Programs (IRPs) are the result of past initiatives by faculty in different UC campuses aiming to embark on a joint research effort and seek extramural funding with the UC “stamp of approval”, but without going through the MRU establishment process. More recently, additional multicampus research entities were created as a result of the competition for Multicampus Research Programs and Initiatives (MRPI) funds, conducted by the Office of Research and Graduate Studies (ORGS) during the academic year 2008-09. The following table, which is based on detailed data provided to UCORP by ORGS, provides summary information about the extant multicampus research entities in the UC system.

Category	Current Number	Eligible for UC funding?	Minimum No. of Campuses/Labs	Guidelines
MRU	23	Yes	2	Compendium
MRP	21	Yes	?	?
IRP	5	No	3	ORGS IRP document
ORU with UCOP funds	3	Yes	N/A	Compendium
MRPI winners not in the above categories	17	Yes	3	ORGS MRPI document

UCORP has discussed the policies governing multicampus research entities at each of its monthly meetings since October 2010. The Committee has reviewed the relevant sections of the Compendium and the detailed data provided by ORGS. Furthermore, in an exercise of shared governance, the Committee has interacted extensively with the ORGS leadership; in particular, UCORP has consulted extensively with Vice President for Research and Graduate Studies Steven Beckwith, Executive Director of the Research Grants Program Office Mary Croughan, and Director of the Program Application and Review Center Kathleen Erwin.

After much deliberation, UCORP has arrived at a set of recommendations concerning multicampus research efforts in the UC system.

### Summary of UCORP Recommendations

UCORP recommends that, in steady state, there be just two categories of multicampus research entities: **Multicampus Research Units (MRUs)** and **Multicampus Research Programs (MRPs)**.

- MRUs have a longer research horizon, while MRPs are shorter-term research projects funded or partially funded by UCOP. Both MRUs and MRPs require the participation of at least three campuses or at least two campuses and at least one national laboratory.
- MRUs can exist independently of UC funding, while MRPs exist only as long as they are funded by UCOP.
- Both MRUs and MRPs can be awarded funding from UCOP as a result of a periodic competition; however, MRPs are allowed to compete for UCOP funding in at most two funding cycles, while MRUs are eligible to compete for UCOP funding throughout their existence.
- An MRP can apply to be reconstituted as an MRU.
- MRUs are established via a streamlined process; several other changes aiming to streamline the oversight, review, and disestablishment of MRUs are proposed.

## **Multicampus Research Unit (MRU) and Multicampus Research Program (MRP) - Detailed Guidelines**

### **Definition and Purpose**

A Multicampus Research Unit (MRU) is a research unit established by UC to provide a supportive infrastructure for long-term research and/or creative work being carried out on at least three campuses or at least two campuses plus one national lab. The initial term of an MRU is five years; the typical life span of a successful MRU is fifteen years with potential for extension based on positive review. An MRU may be supported by one or more of the following sources: funding awarded to the MRU by UC as a result of a periodic competition, extramural funds sought for the purpose, funds from a philanthropic institution or other sources. An MRU may participate in periodic competitions for funding offered by UCOP throughout its existence.

A Multicampus Research Program (MRP) is a research program supported by UC to facilitate research and/or creative work being carried out on at least three campuses or at least two campuses plus one national laboratory. MRPs are established as a result of periodic competitions for funding through the UC Office of the President, and exist as long as they are funded by UCOP. An existing MRP can compete in a periodic competition for a second round of UCOP funding; if successful, it can continue operating during the second funding cycle, but cannot compete for UCOP funding a third time. However, an existing MRP may apply to be reconstituted as an MRU.

MRUs and MRPs are intended to serve as resources within the UC system, providing stimulus and cohesion for thematic topics important to UC and California involving multiple UC campuses, as well as national laboratories. They can be organized to carry out focused research efforts, to provide competitive grants in important fields of research and creative work, or to facilitate innovation through high levels of collaboration and interaction.

The functions of an MRU or MRP include: facilitating research and research collaborations; disseminating research results through research conferences, meetings and other activities; strengthening graduate and undergraduate education by providing students with training opportunities and access to facilities; seeking extramural research funds (in the case of an MRU or an MRP seeking to be reconstituted as an MRU); and carrying out University and public service programs related to the MRU's or MRP's particular area of expertise.

An MRU or MRP must be complementary to the academic goals of the University, but does not have jurisdiction over courses or curricula and cannot offer formal courses or make faculty appointments. Actual or potential availability of extramural funds shall not serve as the sole basis for proposing, approving, or continuing an MRU (or evaluating an MRP seeking to be reconstituted as an MRU).

The commonality in goals notwithstanding, MRUs and MRPs are distinctly different research entities. MRUs have a longer research horizon and can exist independently of obtaining funding from UCOP, whereas MRPs are shorter-term research projects funded or partially funded by UCOP. Other differences between MRUs and MRPs, including differences in the review and renewal process, are detailed in subsequent sections of this document.

### **Application and Approval Procedures**

Every MRU or MRP has one lead campus that will host the administrative headquarters of the unit or program and will be responsible for overall administrative and reporting functions.

The application to establish an MRU originates at the lead campus; the other proposing campuses or national laboratories participate in the development and review of the proposal. In particular, the proposal for the establishment of an MRU is reviewed by the Committee on Research or its equivalent and the Vice Chancellor for Research of all proposing campuses. The lead campus is responsible for the coordination of this process and for securing the endorsements of the Committees of Research or their equivalent and of the Vice Chancellors for Research of the other proposing campuses. The proposal, together with the endorsements by the other proposing campuses, is submitted to the Vice Chancellor of Research at the lead campus and is reviewed by the Committee on Research or its equivalent of the lead campus. Upon favorable review and approval, the Vice Chancellor for Research of the lead campus submits the proposal to the Vice President for Research and Graduate Studies. After receiving the proposal, the Vice President for Research and Graduate Studies will refer the proposal to the Chair of the Academic Council for review and comment by the University Committee on Research Policy (UCORP), the University Committee on Planning and Budget (UCPB), and the Coordinating Committee on Graduate Affairs (CCGA). UCORP will be the lead review committee.

In cases of disagreement about whether to establish an MRU, the Vice President for Research and Graduate Studies, the Chair of the Academic Council, and the Vice Chancellor for Research of the lead campus will establish a process of adjudication; however, the Vice President for Research and Graduate Studies retains final authority for the decision to recommend establishment of a new MRU to the President. After Presidential approval, the Vice President for Research and Graduate Studies informs the Chancellors and Chair of the Academic Council of the action.

New MRPs are initiated through a competitive process, generally in response to requests for proposals for funding by UCOP issued by the Vice President for Research and Graduate Studies. The MRP proposal process will be structured to support programs and initiatives such as the following:

- New research initiatives for which seed funding could lead to future extramural funding, especially in areas where UC campuses are underfunded relative to other comparable research institutions.
- Areas of research and creative work that are underfunded by the government in relation to their perceived importance to the state or the nation.
- Emerging fields of study, innovative or multidisciplinary research and creative work with the potential to increase UC's competitiveness.

Prior to issuing a call for proposals, the Vice President for Research and Graduate Studies will seek the input of the Academic Senate in determining the overall research goals and priorities that will be reflected in the call for proposals. In particular, the Vice President for Research and Graduate Studies will refer the draft call for proposals to the Chair of the Academic Council for review and comment by UCORP (the lead review committee), UCPB, and CCGA. Proposals responding to such a call may be submitted by proposed new MRUs and MRPs, existing MRUs, and existing MRPs requesting a one-time extension of their UC funding.

The proposal to establish an MRU must state the proposed unit or program's goals and objectives, describe what value and capabilities will be added by the new unit or program, and explain why they cannot be achieved within the existing campus structure. It should make clear how the MRU will be greater than the sum of its parts, for example, by fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative and original research and creative work, or performing service and outreach to the public. The proposal should also contain the following information:

- Experience of the core faculty in applicable research collaborations.
- Research plan for the first year of operation and projections for the subsequent years of operation.
- Budget estimates for the first year of operation, projections for the subsequent years of operation, and anticipated sources of funding.
- Names, titles, and departments of faculty members who have agreed in writing to participate in the unit's activities.
- Projections of numbers of faculty members and students, professional research appointees, and other personnel for the specified periods.
- Statement about immediate space needs and how they will be met for the first year and projections of future space needs.
- Statement of other resource needs, such as capital equipment and library resources, and how they will be met for the first year, and projections of future resource needs.
- Statement about anticipated benefits of the proposed unit to the teaching programs of the participating faculty members' departments.
- Statement specifying the appropriate administrative unit's commitment of funds, space, and other resources necessary for the successful operation of the proposed MRU.



The proposal should also list similar units that exist elsewhere, describe the relation of the proposed unit to similar units at other campuses of the UC, and describe the contributions to the field that the proposed unit may be anticipated to make that are not made by existing units.

Prior to approval of an MRU by the Vice President for Research and Graduate Studies, an organizational plan must be developed by the faculty members concerned, and appropriate assurances related to administrative services, space and facilities must be finalized between the MRU and related academic units.

A proposal submitted by an MRU or an MRP responding to a call of proposals issued by the Office of the Vice President for Research and Graduate Studies must contain all information specified in the call for proposals. Generally, this information should be similar to the preceding information required for the establishment of an MRU.

An MRP may apply to be reconstituted as an MRU at any time during its life span.

### **MRU and MRP Leadership and Appointments**

An MRU is led by a Director, who must be an Academic Senate member at the rank of Associate Professor or higher. An MRP is led by a Principal Investigator with conferred PI status at his or her campus. Typically an MRU Director or an MRP Principal Investigator is affiliated with the lead campus of the MRU or the MRP.

The Director of an MRU is appointed by the Vice President for Research and Graduate Studies. The authority for appointment can be delegated to the Vice Chancellor for Research of the lead campus after consultation with the appropriate committees of the Academic Senate. An MRU Director or an MRP Principal Investigator may not hold a concurrent appointment as Dean, Associate Dean, or Department Chair, unless exceptional approval is granted by the Vice President for Research and Graduate Studies (or, by delegation, the Vice Chancellor for Research of the lead campus).

MRU Directors are generally appointed for a five-year term with the possibility of reappointment, if the MRU continues for a next term. MRP Principal Investigators are generally appointed for each term of the MRP. The appointment of a new Director during the term of the MRU or a new Principal Investigator of the MRP requires that nominations be solicited from the MRU or MRP membership.

The Director of the MRU or the Principal Investigator of the MRP is responsible for the administrative functions of the MRU or MRP and for guidance of the unit or program's activities in accordance with its established goals. The Director of an MRU may receive an administrative stipend in addition to the faculty salary. The Principal Investigator of an MRP may not receive an administrative stipend.

## **Administrative Operations**

The MRU or MRP reports to the Vice President for Research and Graduate Studies (or, by delegation, the Vice Chancellor for Research of the lead campus) and must follow administrative review and approval processes set forth by the Office of Research.

MRUs and MRPs are expected to follow all UC policies related to academic responsibilities, including teaching and service workload within the faculty's respective home academic units, faculty commitment of effort and/or compensation, honoraria, travel and sabbatical leave.

## **Annual Reports**

Every MRU and every MRP shall submit to the Vice President for Research and Graduate Studies (or, by delegation, the Vice Chancellor for Research of the lead campus) an annual report that includes information such as:

- Numbers of graduate and postdoctoral students directly contributing to the unit or program who: a) are on the unit or program's payroll; b) participate through assistantships, fellowships or traineeships; or c) are otherwise involved in the unit or program's work.
- Number of faculty members actively engaged in the MRU's or MRP's research or its administration.
- Numbers of FTE of professional, technical, administrative and clerical personnel employed.
- A list of publications and intellectual property resulting from the collaborative endeavors of the MRU or MRP.
- A list of grant awards to participating faculty, as well as sources and amounts (on an annual basis) of support funds of all types, including income from service facilities, the sale of publications and from other services.
- A summary of expenditures, distinguishing use of funds for administrative support, matching funds, direct research and other specific uses.
- Description of the space currently occupied on all campuses and national laboratories.
- Any other information deemed relevant by the Office of Research and Graduate Studies to the evaluation of the effectiveness of a program or unit, including updated plans for future years.

## **MRU Continuation and Review**

The initial term of an MRU is five years, with a sunset review after fifteen years. The MRU is automatically disestablished at the end of each five-year term unless it requests to be reviewed and to be extended for another five-year term. If an MRU does not seek extension of its term, then the Director will provide a final report to the Vice President for Research and Graduate Studies. An MRU not seeking extension of its term may

request a one-year no-cost extension of its operation to permit an orderly termination or transfer of contractual obligations.

After a request for review and extension has been submitted by an MRU, a five-year review of that MRU is conducted by UCORP as the lead committee with participation by UCPB and CCGA. The authority to conduct the MRU Review can be delegated by the Academic Senate to the Committee on Research or its equivalent at the lead campus, after consultation with the Vice President for Research and Graduate Studies and the Vice Chancellor for Research at the lead campus. The review will assess the unit's activities with regard to its stated purpose, present functioning, funding record, future plans and continuing development to meet the needs of the field.

Self-report materials prepared by the MRU and the annual reports for the preceding five years are reviewed by UCORP (or, by delegation, the Committee on Research or its equivalent at the lead campus), and a recommendation concerning continuation of the unit is made to the Vice President for Research and Graduate Studies upon consideration of the information provided. Requirements for the self-report are similar to the application process for new MRU proposals. MRU five-year reviews are not competitive.

### **MRU Sunset Review**

All MRUs that have been in existence for 15 years or more are subject to a Sunset Review. At that time, they are required to justify their continuation in terms of scholarly or scientific merit and campus priorities.

An MRU undergoing a Sunset Review must develop a formal proposal for continued MRU status, support funds, and space within the context of current campus and University needs and resources. The proposal should explain whether the MRU proposes to continue unchanged in the future and if so, how it continues to address important issues that cannot be addressed through another mechanism or structure within UC. If the MRU is continuing in a new direction, the proposal should describe the new structure, vision, and intended accomplishments. If continued MRU status is not a goal, the Director will provide a final report to the Vice President for Research and Graduate Studies.

Any proposal for continuation should describe:

- The MRU's achievements over the past 15 years (or more, if it has been in existence longer).
- The contributions the MRU has made to research, graduate and undergraduate education, and public service.
- The consequences if the MRU were not continued.

Sunset Reviews are conducted by UCORP as the lead committee with participation of UCPB and CCGA. The authority to conduct the Sunset Review can be delegated by the

Academic Senate to the Committee on Research or its equivalent at the lead campus, after consultation with the Vice President for Research and Graduate Studies and the Vice Chancellor for Research at the lead campus. Sunset Reviews are not competitive.

An MRU recommended for continuation upon the completion of a Sunset Review will be subject to a subsequent Sunset Review at an interval recommended by UCORP (or, by delegation, the Council on Research or its equivalent at the lead campus) not to exceed fifteen years<sup>1</sup>.

### **MRP Review**

If an MRP opts to submit a proposal for a second round of funding by UC in the next periodic competition, then the evaluation of the proposal also constitutes a review of the MRP and takes into account the annual reports issued by the MRP.

### **MRU Disestablishment Procedures**

An MRU that does not proactively request to be reviewed and have its term extended is automatically disestablished after the completion of its current five-year term. Normally, upon request, the MRU will be granted a one-year no-cost extension of its operation to permit an orderly termination or transfer of contractual obligations.

An MRU may also be disestablished as a result of a recommendation to disestablish that MRU. Such a recommendation may follow a five-year review, a Sunset Review, or other process of review established by the Vice President for Research and Graduate Studies or the Vice Chancellor for Research of the lead campus. If the disestablishment initiates at the lead campus, the Vice Chancellor for Research submits the request for disestablishment to the Vice President for Research and Graduate Studies after review by appropriate Divisional Senate committees. The Vice President for Research and Graduate Studies refers any recommendation for disestablishment to the Chair of the Academic Council for comment by UCORP (the lead review committee), UCPB and CCGA.

In cases of disagreement about whether to disestablish an MRU, the Vice President for Research and Graduate Studies, Chair of the Academic Council, and Vice Chancellor for Research of the lead campus will establish a process of adjudication; however, the Vice President for Research and Graduate Studies retains final authority for the decision to recommend disestablishment of an MRU to the President. After Presidential approval, the Vice President for Research and Graduate Studies informs the Chancellors and Chair of the Academic Council of the action.

Normally, upon request, an MRU which has been recommended for disestablishment will be granted a one-year no-cost extension of its operation to permit an orderly termination or transfer of contractual obligations.

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<sup>1</sup> The MRU remains subject to the “MRU Continuation and Review” section of this document.

## **MRP Disestablishment Procedures**

An MRP is automatically disestablished after the completion of its funding term, which may come at the end of the first or of the second funding cycle after the establishment of the MRP, depending on whether the MRP has successfully applied for UC funding in a second UC periodic competition. An MRP may request a one year (or less) no-cost extension of its operation to permit an orderly termination or transfer of contractual obligations.

## **Transition Issues**

After UCORP's final recommendations are adopted by the Academic Senate and the Office of the President, several transition issues concerning the various extant multicampus research entities will have to be addressed. UCORP envisions a process in which all such extant entities will have to be disestablished in a timely fashion, unless they can continue as MRUs, be constituted as MRUs, or be constituted as MRPs, according to the preceding guidelines.

Policies governing Academic Senate oversight of the California Institutes of Science and Innovation (Cal ISIs) are not included in these guidelines, because they were created as a result of a gubernatorial initiative outside the scope of existing UC programs for multicampus research entities. Special guidelines taking into account the unique characteristics of the Cal ISI program should be developed by a future UCORP after the new policies for MRUs and MRPs have been put into place.

## **Acknowledgments**

UCORP wishes to thank the Office of Research and Graduate Studies and, in particular, Vice President Beckwith, Executive Director Croughan, and Director Erwin for providing the Committee with detailed data on multicampus research entities in the UC system and for their valuable comments and feedback throughout UCORP's examination of the current policies and procedures.