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*Assembly of the Academic Senate, Academic Council*  
*University of California*  
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December 22, 2005

**RORY HUME**  
**ACTING PROVOST**

**Re: Proposed Review Protocol for the California Institutes for Science and Innovation**

Dear Rory:

I am pleased to submit the enclosed "Proposed Protocol for Five-Year Reviews of the California Institutes for Science and Innovation." As you know, the Chair of the University Committee on Research Policy (UCORP), George Sensabaugh, and the Chair of the University Committee on Planning and Budget (UCPB), Stanton Glantz, worked together on crafting the proposal, which is supported by both committees and reflects extensive consultation on regularizing and initiating reviews of the Institutes. The draft protocol is based on the University's existing ORU/MRU review policy, past formal recommendations of UCORP, UCPB and the Academic Council, the terms specified in a letter to me dated September 27, 2005 and revised October 25, 2005 from former Provost Greenwood, and your comments.

It is our hope that the first Cal ISI review can begin promptly and be done on an accelerated schedule. Ideally, the review will be completed this academic year so that the current Senate committees and Council can work with the Administration to make any necessary adjustments to the protocol before it is finalized and used for the other Cal ISIs.

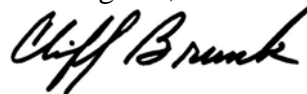
As has been discussed with the Administration, Cal IT<sup>2</sup> seems best positioned to be the first Cal ISI to be reviewed. An updated version of the IT<sup>2</sup> director's report that was done for the 2003-04 "mid-launch review" would help speed the review process; other reports and correspondence associated with that initial review could be made available to the review panel as well. In order to keep the momentum going toward full implementation, we believe a provisional schedule for the reviews of the other three Institutes should be plotted out as soon as possible, with input from the Divisional Senates.

Long-range planning and the role of the Institutes in the local and sytemwide contexts have been “big picture” issues raised by our Senate committees since the inception of the Cal ISIs five years ago. Therefore, in concurrence with the Chairs of UCORP and UCPB, I also request that a reassessment be done of the Cal ISI program as a whole after the first review cycle of all four ISIs is completed. Carried out in consultation with the Senate, the re-evaluation would determine the program’s success, its benefits to the University and to the California economy, and what, if any, changes (up to and including major restructuring and disestablishment) should be made that will ensure that the Cal ISIs fit into a long-range plan of the University and the campuses that host them.

There also remains the long-term concern about budgetary issues surrounding the Cal ISI’s and their potential impact on the campuses and UC as a whole. This issue is separate from the current project of establishing a review protocol, and, we believe, needs to be addressed through normal budgetary processes including annual consultation with the Planning and Budget Committees of each of the participating campuses and the University Committee on Planning and Budget.

On behalf of the Academic Council, UCORP and UCPB, I want to thank you for your attention and support in realizing this effort. We hope the proposed protocol and the plan of action outlined above meet with approval, and look forward to having the first Cal ISI review underway soon.

Best regards,



Clifford Brunk,  
Academic Council Chair

cc: Academic Council  
Maria Bertero-Barceleo, Academic Senate Executive Director  
Encl: 1

CB:bgf

**Proposed Protocol for Five-Year Reviews**

## of the California Institutes for Science and Innovation

### Overview of the Cal ISIs

The California Institutes for Science and Innovation (Cal ISI) were first announced in 2000 as a state-mandated initiative to support research in fields that were recognized as critical to the economic growth of the state – biomedicine, bioengineering, nanosystems, telecommunications and information technology. The Cal ISIs were conceived as a catalytic partnership between university research interests and private industry that could expand the state economy into new industries and markets and accelerate the delivery of scientific innovation to the end user. They were selected through a competition that was conducted by a gubernatorial panel and administered by the University of California in 2000. The four research centers are multi-campus entities of the University of California that operate in partnership with industry, and involve structured collaborations among campuses, disciplines, academic researchers, research professionals, and students.

Each Institute is hosted by at least two UC campuses, with one campus (the first listed) taking a lead role:

- California Institute for Quantitative Biological Research ([QB3](#)), San Francisco, Berkeley, and Santa Cruz.
- California Nanosystems Institute ([CNSI](#)), Los Angeles and Santa Barbara.
- California Institute for Telecommunications and Information Technology ([Cal-\(IT\)<sup>2</sup>](#)), San Diego and Irvine.
- Center for Information Technology Research in the Interest of Society ([CITRIS](#)), Berkeley, Davis, Merced, and Santa Cruz.

The Cal ISIs function as “organized research units,” as defined by the Regents in their *Policy on Organized Research Units* (1993)<sup>1</sup>, which also provides for periodic review of such units using “policies and procedures developed after consultation with Chancellors and appropriate bodies of the Academic Senate.” Regularized reviews of the Institutes are necessary to ensure that the research and other educational activities being conducted under the units' auspices are of the highest possible quality, that University resources are being allocated wisely and consistently with University and campus budgetary and planning priorities, and that the research and operations of the units enhance the academic enterprise of each affiliated campus and of the university in concert with the execution of their respective missions.

The Cal ISIs differ from the traditional ORU structure in that campus chancellors rather than faculty serve as the principal investigators and in the unique partnership role of the University and industry that is maintained by the Institutes. Accordingly, matters relating to an Institute's governance, relationships between the campus partners, relationships with industrial partners, management of risk, potential conflicts of interest, and technology transfer arrangements will extend beyond the scope of the traditional ORU review. A principal goal of the ISI review is to

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<sup>1</sup> The Regent's *Policy on Organized Research Units* (1993) defines an organized research unit as an “interdepartmental group of faculty members and students on a single campus or on several campuses engaged in research.” See: <http://www.universityofcalifornia.edu/regents/policies/6075.html>

assess whether these issues are being addressed in a way consistent with University-wide policies and the University's academic mission.

### **Charge and Focus of the Review**

Each of the Cal ISIs will be reviewed at intervals of five years or less by an ad hoc review committee appointed by the Provost from a slate nominated by the Chair of the Academic Council and the Chancellors of the participating campuses for the Cal ISI.

#### ***Each review committee will be expected to answer these core questions:***

1. Do the activities of the Institute clearly enhance the university's overall academic mission?
2. How well has the Institute been fully integrated into each campus's activities under the same academic and administrative policies as all other units on the campus and within the university?
3. Do the Institute's activities strike an appropriate balance between advancing commercial endeavors that enhance California's economy and the traditional academic mission of the university?
4. Are there significant problems or needs that prevent the Institute from fulfilling its mission effectively and what actions should be taken to address them?

Assessment of the Institute director's performance should be tied to the realization of the goals implicit in the above questions.

#### ***Each review committee will be expected to provide an assessment of these areas concerning quality and value of research:***

- The quality and productivity of research accomplished and in progress; major accomplishments over the past five years
- The major achievements of the professional academic staff (publications, awards, honors, presentations) and administrative support staff
- Evidence that the Institute has contributed to outstanding research in the disciplinary and interdisciplinary areas in which it specializes
- The Institute's national and international standing
- The Institute's public outreach and service activities
- The Institute's role in undergraduate and graduate and professional education on the host campuses: What are the direct and indirect contributions of the Institute to graduate and undergraduate teaching programs of academic departments of the University?

#### ***Each review committee will be expected to directly address these areas concerning administrative operations:***

- Competence of management: Is the Director an effective leader of the Institute? What are the Director's strengths and weaknesses? Are there areas in which the Director should place additional or fewer resources?
- The same questions should be addressed of the Associate Directors (or equivalent) on the partner campuses.
- Governance: Does the administrative structure optimally meet the needs of the Institute? Are resources for administration appropriate and adequate?
- Budget:

- Does the unit make cost-effective uses of UC funds (for example, is there an appropriate balance of expenditures for administrative versus research support)?
  - Has the unit been successful in garnering extramural support to augment UC funding?
  - What is the contribution of funding from private sector partners? Are there any restrictions associated with this funding?
  - How has provision of university funds for the ISI affected the funding of other campus activities?
- Coordination between/among campus partners
  - The Institute's intellectual relationships with its industrial partners: What unique contributions are being made by these partners and what opportunities are being created for students and faculty? What procedures (in addition to general University and campus policies) have been developed to manage potential financial and other conflicts of interest and commitment that may arise because of the close partnerships with industry that are part of the Cal ISI model? What steps are taken to see that University resources are not providing inappropriate subsidies for private business?
  - Allocation of FTE associated with the Institute
  - Are intellectual property and technology transfer arrangements and related issues managed in a way that is consistent with Universitywide policies and the University's academic mission?
  - Advisory committee: The make up and effectiveness of the institute's advisory or steering committee; How effective is the Advisory Committee or committees in providing guidance to the Director? Does the Committee have a role in the Institute's decisions to support faculty research, the graduate student dissertation or postdoctoral fellow research? If so, are potential conflict-of-interests appropriately managed?

This basic charge can be expanded to include other institute-specific issues based on input from consultations with the affiliated Chancellors, the Directors and Advisory committee and the Divisional Academic Senates on the host campuses.

### **Review Process**

*The Chancellor of the lead ISI campus assumes responsibility for coordinating with the Chancellors of the other host campuses and the Directors of the Institute under review, the Institute's participation in the review process*

- I** The Provost notifies the Chancellor of the lead campus that a review is scheduled to take place and provides a provisional timetable for the review process. The Chancellor of the ISI under review is provided guidelines for the review and are invited to add institute-specific and campus-specific concerns to the charge. The local Senate Division Chairs shall be consulted in this process.
- II** The Provost appoints an ad hoc review panel from a slate of names solicited from host Chancellors, the Chair of the Academic Senate, the Chairs of the Divisional Senates from host campuses, and the President's Board on Science and Innovation.
  - a. Membership will include: experts of international stature from both the academy and the private sector; faculty from each of the host campuses; one or more UC faculty members from non-participating campuses.

- b. No member of the faculty with an affiliation to the institute being evaluated or employee or officer of a private business collaborating with the institute shall be a member of the review panel.
  - c. Members of the panel will be screened for financial conflicts of interest.
  - d. Both the Systemwide Senate and the host campus Divisional Senates will be represented on the panel.
- III** The Chancellor of the lead campus submits a single integrated Institute report to the Provost, which is forwarded to the review panel.
- IV** The review panel meets as necessary to review Institute materials, conduct site visits, and produce a report addressing the areas in the general and institute-specific charge.
- V** The Provost receives the review panel's report and initiates the following sequence of response and comment:
- First:** The lead Chancellor coordinates preparation of a unified response to panel's report.
  - Second:** The Chancellors of each host campus submit the unified response to their respective Senate Divisions for comment, after which the lead Chancellor forwards the unified response and Senate Divisions' comments to the Provost.
  - Third:** The Provost solicits formal comments from the Systemwide Senate and the President's Board on Science Innovation based on all review materials including responses and comments from the preceding steps.
- VI** The Provost issues recommendations or an action plan for changes to the Institute based on all aspects of the review.
- VII** The Chancellor of the lead campus, working with the Chancellors of the other host campuses, submits an integrated follow up report describing actions taken in response to the review, which is sent to the Provost and all reviewing bodies including the Senates of the host campuses and the systemwide Senate.

The entire review shall be completed, from the charge stage to the final submission of action reports to the Provost and Systemwide and Divisional Senates, in no more than 12 months.

The review committee shall be given adequate staff and a specified time frame to complete its inquiry and write its initial draft report. Costs shall be borne by the Office of the Provost.