

Gina Anderson

To: Gina Anderson
Subject: RE: Office of Research Update

From: Karl Engelbach [mailto:kmengelbach@ucdavis.edu]
Sent: Thursday, February 03, 2011 1:11 PM
To: 'codvc@ucdavis.edu'
Cc: 'codvc-assist@ucdavis.edu'
Subject: Office of Research Update

The following is forwarded on behalf of Chancellor Katehi:

From: Kassie Obelleiro [mailto:kobelleiro@ucdavis.edu] **On Behalf Of** Stanley E Nosek
Sent: Thursday, February 03, 2011 12:01 PM
To: OR ALL - US
Cc: Chancellor Katehi; OR Research Directors - ALL; OR Research Managers - ALL
Subject: Office of Research Update

Dear Office of Research Colleagues:

We are writing to express our appreciation for all your efforts towards supporting research on campus, especially during this time of multiple reviews, increasing workload demands and budget challenges. We are also authoring this communication jointly to reinforce to each of you that we are working closely together to ensure a smooth transition from Stan to Harris in the Vice Chancellor role. In fact, the attached Mission, Vision and Values statement prepared with input from the OR Senior Leadership Team represents our shared philosophy. Please consider this a starting point for an ongoing conversation within our organization about why we exist, where we need to be to serve the campus best, and how we will go about doing our work. This is intended to be a living document, one that we discuss and further develop over time. Right now, we offer this to you as a statement of focus and commitment by the leadership team.). We intend to hold ourselves accountable to this document and expect that you will let us know when we fail to do so. Please take a moment to review this statement and consider your role in helping to achieve our mission in service to the UC Davis research community. We will also look for each of you to offer input into the evolution of this statement and to eventually also make a commitment to the values we intend to model by our words and deeds.

While there is no doubt that we are facing difficult financial times, it continues to be a priority of campus leadership to invest in the Office of Research so that we may provide the level of service and advocacy for the research community necessary to achieve the Chancellor's extramural research funding and technology transfer goals. While we will be receiving some additional resources, most other organizations on campus will be managing the challenge of reduced resources. This places even more responsibility on us to do everything possible to streamline our processes, eliminate redundant work, seek best practices, and implement all the changes necessary to create efficiencies in the provision of the services we provide. Each of you can and must participate in this "continuous improvement" process. A recent letter from Chancellor Katehi is attached that provides another example of her commitment to research. In this letter the Chancellor has announced that indirect cost funds from the ARRA research will be managed by this office to be used for strategic research investments. These decisions demonstrate our campus' increased commitment to supporting the research mission of our university and reinforces the essential role that all of us have to support this effort.

We would also like to share information with you regarding changes being implemented within the Office of Research (OR) organization.

We have been working on the development of a new organizational structure for OR. I (Harris) have identified three executive-level positions to report directly to me as Vice Chancellor: an Associate Vice Chancellor for Interdisciplinary Research and Strategic Initiatives (a revised position of the one currently held by Bernd Hamann), an Associate Vice Chancellor for Technology Management and Corporate Relations (currently vacant), and an Executive Associate Vice Chancellor (EAVC) for Research Administration (currently vacant). Each of these will be full-time management position appointments as opposed to part-time faculty appointments as has been the practice with two of these positions. Plans for the recruitment of the Associate Vice Chancellor for Interdisciplinary Research and Strategic Initiatives and the Associate Vice Chancellor for Technology Management and Corporate Relations are under way and more information will come at a later time.

The EAVC position will oversee all aspects of Research Administration, including Business Administration, Sponsored Programs, and Research Compliance and Human Subjects, and will serve as the chief operating officer for our organization. Assistant Vice Chancellor Leslye Hays, who has been ably guiding the research and business administration endeavors, will channel her focus on the business administration side of the Office of Research, and will report to the EAVC position. Sponsored Programs, Research Compliance and the Institutional Review Board Administration will directly report to Stan now until the EAVC position is filled. We will launch the recruitment for the EAVC position immediately and will forward notice of this announcement. More information on this position will be available at <http://www.ucdavis.edu/jobs/>.

Again, thank you all for your hard work and commitment to the campus research mission. At UC Davis we provide exceptional learning opportunities for our students, significant public service to the citizens of California, and important research that helps to make our world a better place. This is a noble and meaningful business we are in, and each of your efforts helps to make us that much more successful in the achievement of our mission. We both appreciate everything you are doing individually and collectively - Thank You!

Sincerely,

Harris and Stan

Harris Lewin
Vice Chancellor – Designate

Stan Nosek
Interim Vice Chancellor

Office of Research Senior Leadership

Mission, Vision & Values

MISSION:

The Office of Research (OR) Senior Leadership serves the research community and the Chancellor in achieving the research and technology transfer goals of the university.

How the OR Senior Leadership achieves this mission:

The OR Senior Leadership team seeks to achieve this mission in partnership with UC Davis faculty, staff, students and friends, by promoting creativity and an entrepreneurial culture; ensuring the research preeminence of UC Davis; taking the actions needed to ensure we have a well-trained, service-oriented and supported workforce; employing clear, simple and necessary operating processes; utilizing appropriate technology; optimizing funding models and always operating ethically.

How Success is determined:

Success is determined by earning the satisfaction and appreciation of the research community, and the respect and trust of all those to whom the Senior Leadership are accountable, including the Chancellor, the Deans, the Regents and the OR workforce.

VISION:

The Senior Leadership team has identified the following elements of our vision for the OR and will be held accountable to act upon them:

- **Develop a new vision and strategic plan for research at UC Davis.**
 - Increase the University's capacity to produce cutting-edge research
 - Strengthen interdisciplinary connections among colleges and schools
 - Identify and promote new large-scale interdisciplinary research initiatives that address major social, political and scientific issues
 - Establish metrics for campus research and technology transfer goals and monitor the progress towards reaching those goals
 - Foster a of culture success: value risk-taking, entrepreneurship, transparency and collaboration
 - Promote scholarship, creativity, excellence and entrepreneurship among the faculty
 - Support and leverage research strengths

- **Ensure research preeminence of UC Davis.**
 - Promote UC Davis research capabilities to the public, government industry and other research enterprises
 - Foster partnerships and collaborations with government, industry and other research enterprises
 - Represent the UC Davis research community at the international, national, state and local levels
 - Promote commercialization of university inventions
 - Ensure compliance with all relevant regulations governing research activities
 - Focus on reducing the myriad of administrative burdens (both within and outside of OR) required of campus researchers
 - Identify and make appropriate changes to policies and procedures that are barriers to the generation of research

- **Seek to become an employer of choice.**
 - Employees have high morale and work/life balance
 - Employees are well-trained, appropriately compensated and have the tools needed to do their jobs
 - There is good communication within OR and to our university colleagues and stakeholders
 - We have effective leadership in our organization
 - We actively practice the UC Davis Principles of Community

Office of Research Senior Leadership

Mission, Vision & Values

- **Align resources and service expectations.**
 - Our core services are defined and aligned to best achieve our mission
 - We use technology efficiently and effectively
 - Optimize funding models managed by the OR
 - Our processes are simple and cost-effective
 - We are responsible stewards of the resources entrusted to us

- **Model collaboration.**
 - We foster trust and teamwork
 - We support internal and external collaboration through partnerships and resource sharing
 - We view our own tasks in the larger framework of the University

- **Work to achieve goals and recognize achievements both inside and outside our organization.**
 - We are results-oriented
 - We encourage and support informed risk-taking
 - We measure the satisfaction of those we serve and implement strategies to continuously improve our service delivery

- **Support a safe and environmentally responsible working environment.**

VALUES:

The Senior Leadership team commits to be held accountable to model the following:

- **TRUSTWORTHINESS**
 - Honesty, Integrity, Reliability

- **RESPECT**
 - Civility, Courtesy, Understanding, Caring

- **STEWARDSHIP**
 - Accountability, Transparency, Pursuit of Excellence

- **SERVICE**
 - Collaboration, Teamwork, Professionalism, Quality, Ownership

OR Senior Leadership Team

Harris Lewin, Vice Chancellor – Designate

Stan Nosek, Interim Vice Chancellor

Bernd Hamann, Associate Vice Chancellor, Interdisciplinary Research Administration and Academic Personnel

Leslye Hays, Assistant Vice Chancellor, Business Administration

Ahmad Hakim-Elahi, Executive Director, Research Administration

Eric Mah, Director, IRB Administration and Research Compliance and Integrity

David McGee, Executive Director, Innovation Access

Anne Moyer, Executive Director, Business Administration

Sheryl Soucy-Lubell, Director, Interdisciplinary Research Support

Kassie Obelleiro, Executive Assistant to the Vice Chancellor



LINDA P.B. KATEHI
Chancellor at Davis

OFFICE OF THE CHANCELLOR
ONE SHIELDS AVENUE
DAVIS, CALIFORNIA 95616-8558
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January 27, 2011

CODVC

SUBJECT: Research investments

Dear Colleagues,

The campus has been very successful in generating federal research funds from the American Reinvestment and Recovery Act (ARRA). As of December 31, 2010, UC Davis investigators received about 280 awards totaling over \$156 million. At present, monthly expenses from ARRA awards total about \$2.5 million and we estimate that this funding is supporting about 300 jobs that might otherwise have been lost. The ARRA funds are providing a tremendous boost to our research efforts and a great testament to the excellent faculty at UC Davis.

Looking forward, it will be critical to leverage this funding to position the campus for continued growth of our research even as the federal government slows its level of investment. Therefore, I have decided to use the indirect cost funds from the ARRA research – about \$19 million over two or three years – for strategic research investments. Vice Chancellor Designate Harris Lewin will manage these funds with support from Associate Vice Chancellor Ratliff and staff in the Office of Research. This spring, he will work with Provost and Executive Vice Chancellor Hexter, the deans and the faculty on a process to identify high priority investments that will help us advance the research goals articulated in the *Vision of Excellence* and develop the conditions which will allow the campus to achieve \$1B annually in research awards. This is a goal that matches the capacity, ability and aspirations of our campus.

Thank you in advance for your participation in this effort.

Sincerely,

A handwritten signature in black ink that reads 'Katehi'.

Linda P.B. Katehi
Chancellor

/lk

c: Interim VC Nosek
Associate VC Ratliff