

RESEARCH CENTER REVIEW GUIDELINES

DIVISION OF SOCIAL SCIENCES

UNIVERSITY OF CALIFORNIA, SANTA CRUZ

§1. Objectives

The Division of Social Sciences at the University of California, Santa Cruz conducts periodic external reviews of all academic research centers (referred throughout as Center). Such reviews provide a valuable assessment of the status and direction of the Center to the campus community, the division, and external scholars. Center program reviews serve as important evidence to the division, and the university as a whole, that the Center is engaged in a continuous program of critical self-examination and evaluation. Equally important, reviews allow Centers to examine their current position and the research and educational effectiveness of their programs, raise critical issues within the Center, and evaluate their plans for future development.

§2. Scope

The Center under review will produce a self-assessment document that will be considered by the division. This self-study should be between 10-15 pages long, typed, and single-spaced with 12-point font. It should be submitted to the dean in electronic format, as a PDF on a cd/rom. Additional information may be included in the appendices. Internal and external scholars will visit the Center to discuss the document with the Center constituencies.

The review goal is to focus the Center director and staff as well as other members of the division and the reviewers on the following:

- Current status and effectiveness – Assess scholarly research and creativity
- Critical issues – Raise one to three critical issues from the Center's self-examination of their current status
- Future plans – Project future development and improvement of programs and scholarship in the context of the Center's current strengths and within foreseeable resources

§3. Conduct of Review; Roles and Responsibilities

The Dean of the Division of Social Sciences is responsible for general oversight of the review process. The dean specifies the annual review cycle, approves the slate of reviewers, facilitates communication among participants, and participates in review entrance and closure interviews.

The dean is responsible for the day-to-day management of the review. This responsibility includes notifying the Center, distributing research center review guidelines and the self-

study, nominating and soliciting review committee members, scheduling the external review committee meetings, transmitting the review report, and submitting comments.

The Center director, on behalf of the staff, is responsible for the preparation of the self-study and the response to the review reports.

§4. Center Self-Study Document

§4.1 Content

The Center will prepare a document, following the outline in Appendix A, which will consist of three parts: current status, critical issues and strategies, and future plans. As with all documents in the review process, the self-study will be distributed in a specified electronic format.

The first section provides the Center's assessment of its current status and effectiveness in three areas:

1. The objectives, overall quality, and direction of the research, scholarship and creative activity of the staff and faculty
2. The objectives, overall quality, and direction of the Center's program or programs, including educational effectiveness
3. The effective utilization of available resources to the Center

The assessment should be supported by quantitative material provided by the Center, the Division, and the Office of Planning and Budget, if necessary.

The second section, building from the Center's assessment, should address one to three issues important to the Center and programmatic development within the coming review cycle. Strategies for addressing these issues should be proposed.

The third section addresses the Center's most recent planning document(s) and pending proposals for new programs. Program reviews should emphasize the Center's plans for future development and improvement of programs and scholarship, in the context of its current strengths and recent accomplishments and within available or foreseeable resource allocations. How these plans relate to the critical issues raised in the second section should be included in the discussion.

§4.2 Distribution

The self-study will be submitted to the dean no later than **December 10** of the year prior to the review visit. The dean will review the document for completeness and also to inform the final appointment of the external review committee.

§5. Review Committee

§5.1 Configuration

The review committee shall be comprised of least three distinguished scholars and

experts in the relevant field of study. One member will be selected based on recommendations by the Center director. The slate should include scholars who are best suited to address the issues raised by the self-study and supplemental comments and to produce an independent assessment. The dean will select and appoint additional members as well as the chair.

§5.1 Charge

The general aim is to ensure that the research being conducted within the Center is of high quality and that campus resources are being allocated wisely and effectively. The Center is reviewed with regard to its original purpose, present functioning, future plans, and continuing development to meet the needs of the field. The review should examine the Center's success in meeting previously established objectives, planned changes in program objectives, planned steps to achieve new objectives, response to recommendations from the previous review, adequacy of space and other resources made available to the Center, and the adequacy of the budget to support the mission. The review committee is invited to make specific recommendations, if appropriate, for improvements in the mission, budget, administration, research focus, space and other resource requirements, and programs and activities of the Center. It should also consider whether the Center should merge with another similar unit or be discontinued.

§6. Campus Visit

The dean is responsible for scheduling the campus visit, including all meetings. The external review committee shall meet with the dean in an entrance interview prior to meeting with members of the Center.

Following the entrance interview, the review committee shall meet, at a minimum, with the following representatives (in no particular order):

- Senior staff of the Center (individuals or groups as appropriate)
- Directors of Centers, chairs and/or faculty of departments served by the Center (where relevant)
- Senior staff in other units servicing the Center (where relevant)
- Vice Chancellor of Research (VCR)

§7. Review Committee Report

The dean shall ask the review committee to submit a report electronically within four weeks of its visit. The report should address the charge and any supplemental comments received, and should be based upon the departmental self-study and the interviews.

§8. Action on the Report

§8.1 External Reviewers' Report

The review committee's report shall be submitted to the divisional dean. The dean is responsible for immediately distributing copies to the Center director(s) and the VCR.

§8.2 Director's Response

The Center director is responsible for immediately distributing the report to all faculty members and senior staff. The Center shall submit to the dean a written response to the review report within four weeks. If the director's report does not represent a consensus of the faculty and senior staff, minority reports may also be submitted by any individuals.

§8.3 Dean's Response

Within three weeks of receiving the Center response (including any minority reports), the divisional dean shall prepare the divisional response and submit it, with the response, to the VCR.

§8.4 Closure Meeting

The divisional dean and the VCR will have a closure meeting. The closure meeting will provide an opportunity for a candid discussion of the results of the external review.

Specifically, the following matters shall be addressed:

- Factual matters that are in dispute
- Perspective on current priorities and future directions as viewed by each agency, and
- Prospects for achieving the review recommendations

APPENDIX A

RESEARCH CENTER SELF-STUDY: CURRENT STATUS, CRITICAL ISSUES, AND PLANS

The Center shall provide a narrative, not to exceed 15 pages, followed by appendices with data. The narrative shall be organized into three sections, each approximately five pages.

- I. Center self-study of current status and program effectiveness, including:
 - A. Research, scholarship, creative activity
 - B. Administrative staffing, equipment, and space
- II. Critical issues facing the Center and the strategies through which the Center intends to address these issues
- III. Future plans including new programs, research foci, entrepreneurial efforts, outreach, or other components

The self-study should be prepared in an electronic format. Copies will be posted on a secured web site and made available to administrative and other reviewers when appropriate.

I. CURRENT STATUS

A. Research, Scholarship, and Creative Direction

Describe the present and planned directions of the research, scholarship, and creative activity of the department, addressing the following questions:

- What are the particular intellectual strengths of the Center in relation to other nationally renown public and private research Centers? Are there any unique aspects to the Center?
- As the Center's key staff are renewed through growth or separations, in what intellectual directions does the Center intend to move in the next five year? Ten years?
- What entrepreneurial efforts has the Center taken? Include activity to generate resources and collaborations.
- How are staff mentored with respect to curricular, research and administrative issues?

B. Administrative Staffing, Equipment, and Space

Please address the adequacy of administrative support resources, including staffing, equipment, and space.

II. CRITICAL ISSUES AND STRATEGIES

The Center should identify one to three critical issues that they plan to address during the coming review cycle. These issues may be ones that focus on various aspects of research and programs.

The discussion should include two parts:

1. the identification of the problem, scope and ramifications of the issue, and supporting evidence, and
2. a strategy by which the Center plans to address this issue

Although the Center should bear in mind the available resources, this is also an opportunity to present arguments for funding adjustments. Center initiatives to generate external funding should also be presented.

III. FUTURE PLANS

The Center should outline future plans and briefly summarize specific proposals under development, including new programs, research foci, entrepreneurial efforts, outreach, or other components. You may reference the actual planning documents which are appended (see below).

APPENDICES

The Center will provide data for Appendix 1.

Appendix 1 – Overall Center Profile

- A curriculum vitae/resume for each faculty member and senior staff member who has held an appointment in the past three years, including employment, education, professional competence and activity, and published writings and creative activities.
- Primary research achievements since the last review or past five years (awards, meetings hosted, services performed, administration of scientific societies).
- Professional achievements since the last review or past five years (awards, meetings hosted, services performed, administration of scientific societies).
- Research and professional objectives of the Center for the next five years. New resources needed, if any, to achieve these objectives.
- Publications (including papers submitted and in press) related to the mission and objectives of the Center during the review period, or last five years.
- Total extramural research funding awarded (public and private) by year for the past five years. The Office of Sponsored Projects will provide a baseline report that may be augmented by the Center.
- Explicit budget information including amounts and sources of all funds and expenditures during the review period, e.g., researcher salaries, staff salaries, matching funds, supplies and expense. Space and staff services used by the Center, the frequency of use, and the future space needs of the Center. The Director should show that the total budget is accounted for.

- Senior staff and faculty recruitment plans (intellectual areas, level of appointment, schedule).
- External review report from previous review, if any.

The self-study should be provided to the dean in electronic format. Current format is PDF on a cd/rom. For procedural questions, contact Andrea Cohen, 459-2919, or Candice Brown, 459-4999.