



OFFICE OF THE PRESIDENT  
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Oakland, California 94607-5200

October 29, 2014

UCO INTERIM DIRECTOR CLAIRE MAX  
UC SANTA CRUZ

Dear Claire,

We are writing with two purposes. One is to reaffirm the functions we have understood should be served by Lick Observatory. The other is to provide UC Observatories (UCO) greater flexibility as to how these functions are funded and managed. Specifically, we are rescinding our previous requirements that Lick Observatory become self supporting, begin a glide path to self-supporting status no later than FY 2016-17, and be managed by an entity other than UCO. Indeed, we see the Lick, Keck, and Thirty Meter Telescope Observatories as an integrated ecosystem that can together maintain and grow UC's leadership in astronomy.

First, a bit of history. In the budget letter we wrote to then Interim Director Faber and Interim Executive Director Kliger on September 16, 2013, we intended to state clearly that Lick Observatory was valued and that the UC astronomy community wanted to continue to have access to it. We identified the functions we understood the UC astronomy community valued (see underlined portions of direct quotes from our letter below), and indicated that these functions should continue regardless of the funding and management arrangements for Lick. We did not state in the letter that Lick could be or should be closed.

*The UC Observatories Board provided valuable recommendations to transition the Lick Observatory to a self-sustaining organization managed by an entity other than UCO while maintaining the historic legacy of Lick and allowing the UC astronomy and astrophysics community continued and productive use of the facility as much as reasonably possible.*

*Criteria for a successful transition for the Lick Observatory will be as follows: (1) to become a self-sustaining organization managed by an entity other than UCO without UCOP or UCO funding; (2) to maintain its historic value; (3) to allow continued educational and research opportunities to the UC astronomy and astrophysics community, as they desire; and (4) to improve its public outreach capabilities.*

In our September 16, 2013 letter, we stipulated how the desired Lick functions should be funded and managed. These stipulations – self-sustaining status for Lick, management of Lick by an entity other than UCO, and a transition period to this new arrangement – are also clear in the above quotes. These stipulations will be rescinded below, but we first want to point out that we chose them for several reasons that seemed compelling at the time, including the following: (1) it had been recommended by knowledgeable groups; (2) other observatories, including Keck and the Thirty Meter Telescope, have multiple, diverse funding streams; (3) UCO leaders had indicated UCO could not operate Lick viably without a very significant increase in its funding from the UC Office of the President (UCOP); (4) UC astronomers had clearly indicated that if funding were limited then Lick was fourth on their priority list; (5) UCOP funding was indeed limited; and (6) as UCOP coped over multiple years with very large decreases in its funds, it had frequently used these strategies (self-support, other managers, transition periods) for UC activities that had once been supported by UCOP funds.

Now, a year after our September 16, 2013 letter, we see from your September 18, 2014 plan for the FY 2014-15 UCO all-funds, all-projects budget that Lick Observatory can be supported (albeit with reduced funding) within the parameters for UCOP's funding contribution and without sacrificing other important goals for UC astronomy. We have also seen that there is substantial interest among UC astronomers and other communities for continued operation of Lick by UC. Further, we recognize that there is active engagement on several fronts to diversify Lick's funding from sources such as philanthropy, observatory partners, sales of observing nights, and extramural grants. We know too that achieving a diversified funding stream is challenging, and sustaining it will be a constant effort.

Given the current state of affairs and trajectory for UCO and UC astronomy, we are rescinding the stipulations in our September 16, 2013 letter as to how Lick is to be funded and managed. It is no longer UCOP's intention to require that Lick Observatory be self supporting, begin a glide path to self-supporting status no later than FY 2016-17, or be managed by an entity other than UCO. It will be up to you as Interim Director, and then up to the permanent UCO Director, with advice from the UCO Advisory Committee and others, to determine the best distribution of available UC resources between Lick and other important astronomical activities such as the Keck and Thirty Meter Telescope Observatories and the UC Santa Cruz and UCLA instrumentation labs, subject, of course, to the budget constraints within which all of UC must operate.

Those of us in the Office of the President are proud of the accomplishments of UC's astronomers and of the vibrant ecosystem provided to them by the Lick, Keck, and Thirty Meter Telescope Observatories and the UC Santa Cruz and UCLA instrumentation labs. We are gratified, particularly in these difficult financial times, to be able to provide substantial support for this broad enterprise, including more than \$21M annually, UC's commitment to raise \$50M as a condition for a \$125M Moore Foundation gift to UC for the Thirty Meter Telescope, something less than \$1M in debt forgiveness, about \$250K in in-kind services annually, and a variety of other one-time

contributions. We look forward to continuing to work with you and others to maximize the benefits of the support UCOP is able to provide.

You are free to share this letter as you choose. We expect to share it widely in order to reaffirm our support for the major functions the UC astronomy community wants for Lick, and also to inform others that the Lick funding and management stipulations that may account for their considerable distress no longer apply. We know that there remains substantial work to do for Lick and that it is likely to include greater external fundraising. Where feasible and appropriate, we are ready to help.

Sincerely yours,



Aimée Dorr  
Provost and Executive Vice President



Nathan Brostrom  
Executive Vice President

cc: President Napolitano  
Chancellor Blumenthal  
Senior Vice President Dooley  
Senior Vice President-designate Peacock  
Vice President Sakaki  
Interim Vice President Tucker  
Associate Vice President Falle  
Associate Vice President and Director Juarez  
Provost and Executive Vice Chancellor Galloway  
Vice Chancellor for Planning and Budget Delaney  
Vice Chancellor for Research and Provost's Special Assistant on UC Astronomy  
Witherell  
UCO Chair of the Advisory Committee Barth  
UCO Board Chair Pister  
UCO Associate Director for Lick Observatory Smith  
UCO Assistant Director Korossy  
Director of Budget and Resource Management Moini  
Faculty Advisor to the UCO Interim Director Kliger  
Chief of Staff and Senior Policy Advisor Henderson  
Deputy to the Vice President/Executive Director Griffin-Desta  
Project Manager Shen