

DAVIS DIVISION OF THE ACADEMIC SENATE
POLICIES FOR THE REVIEW AND APPROVAL OF ORGANIZED RESEARCH
UNITS

ADOPTED BY THE EXECUTIVE COUNCIL JUNE 19, 2006

I. PURPOSE

This section describes policies and procedures concerning organized research units and organized research projects at UC Davis that will be used by the Davis Division of the Academic Senate to review proposals for the establishment of Organized Research Units on the Davis Campus. These policies are intended to remain in place until such time as the Davis Campus implements formal policies and procedures regarding organized research units.

The purpose of an organized research unit is to foster research that crosses boundaries among disciplines, departments, and schools or colleges and that cannot readily be done within the administrative structure of a single department or other administrative unit. The purpose of an organized research project, the precursor of an organized research unit, is the same as that of an organized research unit, namely to create a new interdisciplinary research effort, but an organized research project has a finite lifetime not to exceed three years, in general.

II. DEFINITIONS

- A. An ORGANIZED RESEARCH UNIT (ORU) is an administrative entity, approved by the Chancellor after favorable review by the Divisional Academic Senate that is established within the campus to administer research programs that complement the academic goals of the campus. The research programs are usually collaborative and multidisciplinary. An ORU may have other academic functions ordinarily carried out by departments of instruction and research, e.g., it may sponsor research conferences and meetings, advise on graduate curricula, or provide support for graduate students and graduate programs, but an ORU cannot have jurisdiction over courses or curricula and cannot offer formal courses for credit unless it has been specifically empowered to do so. Other criteria, such as designations or administrative arrangements, do not in themselves suffice to define an ORU.
- B. MULTICAMPUS RESEARCH UNIT (MRU) is similar to an ORU, but approved by the UC President. An MRU is responsible to the Office of the President and coordinates research among two or more campuses. Information on the establishment, administration, and review of an MRU may be obtained through the Office of Research. MRU's include (1) all units with facilities and personnel on two or more campuses or locations associated with them, and (2) all units with facilities at a single location on or near one of the campuses if the participation of faculty or staff from other campuses is so extensive as to give such a unit a Universitywide character. MRUs are responsible to the President and report

through a Chancellor or Chancellor's designee (the Vice Chancellor for Research) at the campus hosting the MRU's administration headquarters; the President retains ultimate responsibility for matters of general policy and intercampus coordination and the Chancellor or Chancellor's designee (the Vice Chancellor for Research) oversees the MRU's administrative relationship with the campus.¹ If an MRU has facilities and personnel on two or more campuses or locations associated with them, the Director may be aided by a Branch Director or Associate Director on each campus or location at which the unit is active. The portion of such an MRU on a particular campus has some of the attributes of an ORU, and the chief administrator of that part of the MRU (i.e., the Branch Director or Associate Director) is responsible to the Chancellor or Chancellor's designee (the Vice Chancellor for Research) in such matters as personnel, services, and space. Each Branch Director or Associate Director is responsible to the Director for fulfillment of that portion of the MRU's mission that is carried out by the local branch.

- C. An ORGANIZED RESEARCH PROJECT (ORP) is a pilot project or precursor to an ORU. An ORP has characteristics similar to those of an ORU, that is, it is interdisciplinary, normally collaborative, and cannot be accomplished within the confines of a single department. An ORP must be complementary to the academic goals of the campus. An ORP is a precursor to the establishment of an ORU.
- D. University policy has designated certain categories of names for ORUs. Insofar as possible, designations of ORUs shall be taken from the following definitions:
 - 1. INSTITUTE—a major unit that coordinates and promotes faculty/student research on a continuing basis in areas that extend across departments, schools or colleges, and sometimes campuses. The unit may also engage in public service activities stemming from its research programs.
 - 2. LABORATORY—a non-departmental organization that establishes and maintains facilities for research in several departments, sometimes with the help of a full-time research staff. (A laboratory in which substantially all participating faculty members are from the same academic department is a departmental laboratory and is not an ORU.)
 - 3. CENTER—a unit, sometimes one of several forming an institute, that furthers research in a designated field; or a unit engaged primarily in providing research facilities for other units and departments.

1 The Directors of the Agricultural Experiment Station, the Water Resources Center, the Kearney Foundation for Soil Science, and the Giannini Foundation for Agricultural Economics report to the Vice President—Agriculture and Natural Resources and insure that the Chancellors are kept informed of all impending substantial changes in these units and that effective administrative liaison with the Chancellors is maintained.

Note: Non-ORU center—The terms “institute,” “laboratory,” and “center” may be used for research units not formally constituted as ORUs upon approval by the Chancellor or his designate but only as specified in Section IV.C. of this policy.

4. STATION—a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing other ORUs and serving several campuses.
5. FACILITY and OBSERVATORY—units similar in function to a station, but with more narrow interests.

ORPs may not use the above designations; their establishment permits use of PROJECT, PROGRAM, or GROUP.

III. AUTHORITY

The Chancellor has the authority to approve the establishment, disestablishment, and name change of an ORU after favorable review by the Divisional Academic Senate. The Vice Chancellor for Research has the authority to approve the establishment of an ORP on notice to the Chair of the Divisional Academic Senate. MRUs are responsible to the UC President and report through a Chancellor or Chancellor’s designee (the Vice Chancellor for Research) at the campus hosting the MRU’s administration headquarters; the President retains ultimate responsibility for matters of general policy and intercampus coordination and the Chancellor or Chancellor’s designee (the Vice Chancellor for Research) oversees the MRU’s administrative relationship with the campus.

IV. PROCEDURES FOR ESTABLISHMENT

A. ESTABLISHMENT OF AN ORP

1. An ORP may be established when a group of faculty form an interdisciplinary research group that identifies a "pilot" research project with the intention of developing it into an ORU. Formal status as an ORP may be granted for a period of three years. After a period not to exceed three years a formal ORU proposal should be submitted. ORP status will continue while the formal ORU proposal is being reviewed. In the absence of an ORU proposal ORP status will terminate.
2. ORP status confers eligibility for modest administrative or other appropriate support funds and establishment of the ORP's own account.
3. A group of faculty involved in an interdisciplinary project, possibly residing within a single academic unit, shall submit a proposal to establish an ORP to the Vice Chancellor for Research for review, and consult with the appropriate deans to determine their endorsement, after which the proposal is approved or denied.

- a. The proposal shall justify the establishment of the ORP by stating its goals and objectives, identifying the leader and associated faculty who are involved with the project, the disciplines involved, the location, space requirements, sources of funding, expenditures, and such other information useful in determining appropriateness for ORP designation.
4. When a proposal for an ORU has been submitted but the review process is not complete or the needs of the project require formal organized research status (e.g., in order to facilitate a grant application), status as an ORP may be granted.
5. Upon approval of ORP status the Vice Chancellor for Research shall notify the Chair of the Divisional Academic Senate and provide a copy of the proposal and approval letter.

B. ESTABLISHMENT OF AN ORU

1. Interested faculty should consult with the Office of Research and the Deans of Schools and Colleges to develop a proposal and assure support from the relevant deans including the provision of required work space.
 - a. Interested faculty also should consult with the chairs of departments that may be affected by creation of the unit.
2. Establishment of an ORU requires a commitment of space and permanent funding adequate to the mission of the unit.
3. To establish an ORU, interested faculty submit a proposal to the Vice Chancellor for Research. The proposal shall contain the following information:
 - a. A one-page description of the subject matter of the unit's research, in easily understandable terms
 - b. A list to identify participating faculty by name and describe the extent to which each faculty member's research program will be directed through the proposed ORU
 - i. A description of the experience of the core faculty in interdisciplinary and multidisciplinary research collaborations
 - c. A description of the value and capabilities that will be added to the campus research program by the unit
 - i. Examples include fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative research, or performing service and outreach to the public.

- ii. An explanation why the goals of the unit cannot be achieved within existing campus units.
 - d. A description of the research plan for the first year of operation (for an establishment proposal) and projections for the two years following.
 - i. The research plan should project the numbers of faculty members, students, professional research appointees, and other personnel who will be involved in the research program for the specified periods.
 - ii. The research plan must include budget estimates for the first three years of operation (for an establishment proposal) and anticipated sources of funding.
 - iii. The research plan must include academic goals and/or funding goals appropriate for the proposed unit for each of the first three years of operation and indicate a strategy for discontinuing the unit if the goals are not met.
 - e. A description of the role of graduate students in the proposed unit
 - i. See Graduate Council guidelines for ORU approval.
 - f. Letters from Deans of affected schools and colleges and chairs of affected departments indicating support for the proposed unit and describing resources available to the unit, if any.
 - i. The dean's (or deans') commitment of space is a prerequisite for approval.
- 4. The Vice Chancellor for Research submits the proposal to the Chair of the Divisional Senate and the Office of Resource Management and Planning.
- 5. The Chair of the Divisional Senate submits the proposal to committees of the Academic Senate for review.
 - a. The Committee on Planning and Budget will review the academic goals, academic planning aspects, and budgetary implications of the proposal. This review will include an assessment and/or imposition of performance standards for the first three-year period of the ORU operation that represent academic and budgetary milestones appropriate to the purpose of the proposed ORU. The purpose of the milestones is to measure whether academic and funding commitments will be continued during the period preceding the unit's first five-year review.

- b. The Committee on Research will review the proposal for consistency with the research mission of the campus, the quality of the proposed work, and conflicts with other units.
 - c. The Graduate Council will review the unit's contribution to graduate education under its guidelines.
 - d. The reviews of standing committees will be reported to the Executive Council of the Divisional Senate for its assessment and recommendation. The Executive Council will reconcile any disagreements among the standing committees and provide a recommendation to the Chancellor on behalf of the Divisional Senate.
 - e. The Chair of the Davis Division shall transmit the recommendation of the Senate to the Vice Chancellor for Research.
6. The Vice Chancellor for Research transmits the recommendations of the Divisional Senate and the Office of Resource Management and Planning to the Council of Deans and Vice Chancellors for review and recommendation to the Chancellor.
7. The Chancellor approves establishment of the ORU.
- a. The Chancellor will consult with the Chair of the Divisional Academic Senate regarding any conflicting recommendations from the Senate and the Vice Chancellor for Research.

C. ESTABLISHMENT OF NON-ORU RESEARCH UNITS

1. No campus research unit that is not approved as an ORU may use the terms "institute," "laboratory," or "center" or any of the other reserved terms that designate an ORU, except as provided in this part C.
2. Faculty members proposing a non-ORU institute, laboratory, or center (called research unit in the following) must apply to the dean(s) of a school or college in which the research unit is located.
 - a. The application must define: the name of the research unit, its purpose in supporting research on campus, the participating and leadership faculty with their campus affiliation, funding sources, if any, and the role and number of students participating in the research unit.
 - b. Deans shall annually report the existence of non-ORU research units to the Vice Chancellor for Research. The report should include the principal faculty contact, the purpose of the research unit, funding sources and amounts, and student participation.

- c. The Vice Chancellor for Research annually shall provide a list of non-ORU research units to the Senate Committee on Planning and Budget including principal faculty contact, the purpose of the research unit, funding sources, and student participation.
3. With the express written permission of the Vice Chancellor for Research, faculty may use the terms “institute,” “laboratory,” or “center” in a grant application to describe an academic research unit that may be formed under the terms of the grant. If the grant is funded, faculty involved in the center immediately must seek approval of the center as a non-ORU research institute or as an ORU under this policy. Such a center may operate as an ORP during the review process.
4. Funding agencies sometimes use one of the UC-defined ORU-designated terms (e.g., NSF Science and Technology Center, NSF Engineering Research Center, Center of Excellence). A non-ORU research entity may use the agency-required name without prior approval only if awarded by the requiring agency. The Principal Investigator is expected to inform the Vice Chancellor for Research immediately of the new unit.

V. ADMINISTRATION OF AN ORU

- A. Each ORU is headed by a Director, or Co-Directors. An ORU director is a tenured member of the faculty. The Director may receive an administrative stipend in addition to the faculty salary, unless a faculty member who already earns such a stipend through another appointment (e.g., when serving also as associate dean). Such dual administrative responsibilities should be avoided. Policy and procedures for appointment of directors of ORUs are outlined in UCD Appendix II-C of the Academic Personnel Manual Sections 242 and UCD-242.
- B. The director is aided by a standing advisory committee, appointed by the Vice Chancellor for Research and chaired by a faculty member who is a member of the Academic Senate, other than the director (who serves on the committee as an ex officio member). The committee shall meet regularly and shall participate actively in setting the unit's goals and critically evaluating its effectiveness on a continuing basis. The Chair of the Advisory Committee, and as many other members as practical, should meet with five-year review committees (see below under program review) and otherwise be available for consultation by the five-year review committee during the course of its review.
 - i. The Advisory Committee provides counsel to the Director on matters pertaining to the unit.
 - ii. The advisory committee must include members of the Academic Senate and may include, in addition, faculty members in professional research titles, advisors from the granting agency supporting the work of an ORU,

and professionals from outside the University with expertise related to the work of the ORU.

- iii. The charge to the committee and its functions, membership, and reporting requirements are determined by the Vice Chancellor for Research.

C. ORUs report to the Vice Chancellor for Research as delegated by the Chancellor.

- i. The Vice Chancellor for Research is responsible for monitoring and enforcing performance criteria for continued funding that were incorporated in the ORU's approved proposal.

D. Each ORU shall provide an annual report to the Vice Chancellor for Research that contains the following information:

1. Number of graduate and postdoctoral students directly contributing to the ORU program who:
 - a. Are on ORU payroll.
 - b. Participate through assistantships, fellowships, or traineeships or are otherwise involved in the ORU's research program.
2. Number of faculty members actively engaged in the ORU's research or its supervision.
3. Extent of participation from other campuses of:
 - a. Students.
 - b. Faculty.
4. Number and FTE of employees in the following categories:
 - a. Professional.
 - b. Technical.
 - c. Administrative.
 - d. Clerical.
5. List of publications, including reports and reprints issued in ORU covers, showing for each:
 - a. Author.
 - b. Title.
 - c. Journal, volume, pages, date.
6. Support funds, including income from sale of publications and from other services:
 - a. Source of funds.
 - b. Amounts (on an annual basis).

7. Expenditures:
 - a. Funds for administrative support.
 - b. Funds for direct research.

8. Space:
 - a. Description.
 - b. Total currently occupied.

9. Other information:
 - a. Updated five-year projections of plans and requirements.
 - b. Other.

V. ORU PROGRAM REVIEW [Reserved]