

Research Unit Administrative Processes

Current structures for Research Unit (RU) oversight include multiple lines of communication and points of contact to optimize guidance and support from the Office of Research (OR).

1. Associate Vice Chancellor for Interdisciplinary Research & Strategic Initiatives (AVC-IRSI)
Directly reporting to the VC Research, the AVC IRSI interacts frequently with the RU Directors to develop strategic and operational actions that positively advance research unit operations. The AVC works with each faculty Director on at least a quarterly basis to coordinate and enact actions across all support staff within the research units and OR to facilitate the advancement of all aspects of research unit operations.
2. Research Unit Administration (RUA) – The RUA group support research unit events and activities, coordinate oversight actions (e.g. research unit reviews, annual reporting process, annual budget presentations), and liaise with community and campus constituents on behalf of the research units.
3. OR Business & Finance (ORBF) – The OR Research Unit Chief Administrative Officer serves as a liaison to the Research Unit Managers by providing leadership, fiscal management, operational and facility management, and HR/personnel management to support research units, special research projects, and core facilities including short and long range strategic planning; and supports the Executive Director of Finance and Business Operations in the day-to-day management of the research units including preparing for internal and external research unit reviews.
4. OR Human Resources (ORHR) – The Academic Personnel and Research Unit Liaison Analysts coordinate RU staffing matters and academic actions (e.g. appointment, merit, promotion).
5. OR Marketing & Communications (ORMC) – A marketing specialist works directly with units to create strategic marketing plans, materials, and special projects for events and initiatives.
6. OR Development – The Executive Director and two Assistant Directors of Development work closely with the portfolio of RU to fundraise for unit activities above grant and base funding support.

The administrative processes in place provide operational HR & financial oversight through the means described below.

1. Research Unit directors and managers meet with key OR staff in regularly scheduled fora, including:
 - i. Quarterly unit meetings - Faculty directors and chief administrative officers (CAOs) from individual research units meet no less than quarterly with OR to share unit activities, discuss operational matters (e.g. research activities, review budget, staffing actions, anticipated funding issues, funding concerns/changes, award activity) and address other items necessitating consultation or action (e.g. changes in strategic planning, unexpected challenges, special events).
 - ii. Research Unit Directors (RUD) - The RUD convene quarterly with the Vice Chancellor-Research, AVC IR&SI and other key OR staff as a forum for informational exchange related to upcoming initiatives, tools and strategies for concerns common to all research units, and rotating presentations by individual unit directors. On an ad hoc basis, RUD meetings include informational presentations from representatives of other campus units (e.g. Development & Alumni Relations, Campus Counsel) for items which affect multiple units.)

- iii. Research Unit Managers (RUM) – The RUM have bimonthly meetings with OR Business & Finance (ORBF), Human Resources (ORHR) teams, and other Office of Research staff as appropriate for working sessions with regards to research unit function, and informational presentations and feedback on common systems and tools (e.g. Adaptive Insight software demonstrations for projecting/benchmarking).
 - iv. Annual budget presentations (see #3 below)
 - v. In addition to regularly scheduled meetings, OR supports research units on an *ad hoc* basis in order to problem-solve, provide guidance with strategic planning, participate in advisory board meetings, and prepare for appointments of research unit directors.
2. Staffing actions
- i. RU staffing actions are routed through ORHR and undergo an internal OR review process to confirm programmatic, human resource, and financial support, unless an MOU or exception is made stating otherwise.
 - ii. RU academic actions are routed through ORHR to the VCR, including appointment, promotion, and equity review.
 - iii. OR should have representation on all key RU recruitments and manages the search process for RU directors.
 - iv. The VCR appoints all SRP directors, and provides guidance and recommendations to the Chancellor for all ORU director appointments.
 - Director appointment letters include VCR expectations and budget details as appropriate.
 - Salary compensation for research unit directors will follow the guidelines in the June 2015 Academic Affairs Budget; Institutional Analysis for Academic Administrative Appointments. (Appendix VI)
3. ORBF has visibility into the financial accounts of all units financially reporting to OR. OR requires each unit to submit an annual budget and quarterly financial forecast/projection OR research units take part in an annual budget process as part of the [campus budget planning cycle](#) in which the RUD and CAOs present to the AVC-IRSI, ORHR, ORBF, and RUA. These requests are collated and recommendations given to the VCR, who then renders the final decision on which requests will be advanced to the Chancellor. The director's presentations must include:
- a. Year to date activities and research highlights
 - b. Detail budget variance and proposed carry forward uses of funds
 - c. Upcoming challenges which may impact the unit in the coming fiscal year
 - d. Requested changes to the ongoing base budget and one-time allocations
4. All RUs should submit a detailed reports on an annual basis to the VCR (see [Research Unit Annual Report Requirements](#)). The information in these reports may be incorporated into marketing materials on behalf of the unit, and serves as a platform to enumerate:
- i. Significant research activities and outcomes
 - ii. Vision for the next fiscal year, key objectives and development of funding sources/outreach.
 - iii. Detailed variance analysis accompanying the sources and uses of funds
 - iv. List of personnel (academics, staff, postdoctoral scholars, and students)
 - v. Related publications

- vi. Awards for ongoing reference
5. All RUs should have a five-year strategic plan in place and are encouraged to establish both an Executive Committee and an Advisory Committee (chaired by a faculty member other than the Director).
6. OR reviews of research units and RUD take place on a cyclical basis: every three years for SRPs and five years for ORUs ([UCOP ORU review policy](#), [Guidelines for Research Unit Reviews](#)).
Administrative review takes place when there is a change in unit director or manager.
 - i. Review committees consider the unit's purpose, success in meeting that purpose, present functioning, future plans, and continuing development through criteria for research, teaching, impact on campus, and public service.
 - ii. This process is overseen by an *ad hoc* review committee consisting of an external chair.
 - ORU review committees include two external members selected by the VCR and two internal faculty members selected from a slate of candidates provided by the UC Davis Academic Senate.
 - SRP review committees are selected by the VCR and include both internal and external members.
 - iii. Continuance, disestablishment or other changes to a(n):
 - ORU, are determined by the Chancellor with recommendations from the committee, feedback from the unit director, Dean(s), Academic Senate, and VCR.
 - SRPs, are determined by the VCR with recommendations from the committee and Dean(s).
7. The VCR may delegate various aspects of oversight to a dean of a particular college or school when additional administrative support beyond OR is needed to fully oversee particular research units. For example, cases where additional specific oversight or involvement is mandated by external funding bodies, where ORU activities contain a significant component that is beyond expertise within Office of Research (e.g., clinical research) or where authority over resources or data access cannot be managed within the Office of Research (e.g., lack of visibility into fiscal accounts or IT infrastructure).
 - i. Oversight delegation for ORUs is made in consultation with all relevant stakeholders, documented in a MOU between the parties specifying roles and responsibilities for strategic, functional, operational and IT oversight which requires review by the Chancellor.
 - ii. MOUs will be reviewed annually or on an agreed upon timeline by the parties to the MOU, to ensure effectiveness of execution and sufficient oversight is maintained.
8. OR has overall financial responsibility for Research Units under its direction, unless otherwise implicitly agreed by MoU with other campus leaders, in accordance with campus policy. Research unit managers will facilitate oversight by the B&F office of OR in the most effective way possible. To facilitate this goal, research unit managers will have a dotted line reporting to the ED of B&F of OR. Under certain circumstances, the VCR may authorize change in this reporting structure for a defined period.

