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January 10, 2012

Linda Bisson
Chair
Academic Senate

Dear Linda,

In response to an email from Gina Anderson to Molly Theodosy dated December 20, 2011, this letter formally communicates the recommendation by the Office of Research to eliminate UC Davis Policy and Procedure Manual Chapter 220, Section 01 on Organized Research Units (located online at <http://manuals.ucdavis.edu/PPM/220/220-01.pdf>). A copy of this policy is attached for your reference. Here are relevant points that support our recommendation:

- The current policy 220-01 has not been updated since 1994, and as such, it is outdated, inaccurate, and noncompliant.
- We recognize that many years of effort were put into revising the 1994 policy, with the most recent draft of the revision dated February 10, 2010. While there may be many useful elements to this draft, we still recommend not adopting it as currently written because:
 1. It does not reflect the recommendations made in 2010/11 by the Washington Advisory Group, the Blue Ribbon Committee on Research, and the Huron Consulting Group; and
 2. The Academic Senate expressed concerns with that draft in a letter dated May 6, 2010, which were never resolved.
- PPM 220-01 no longer properly reflects the needs of and goals for centers/ institutes/ large-scale interdisciplinary efforts at Davis. Crucially important aspects concerning timely interdisciplinary research administration are not addressed, such as:
 - seed-funding centers/institutes for short periods of time only
 - stringent annual evaluation procedures driven by annual base-budget decision-making needs
 - expectation to become increasingly self-sustaining

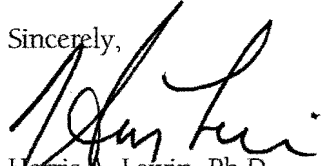
We also recommend that a committee be appointed that will craft a new UC Davis policy on Organized Research Units and their evolution to replace PPM 220-01. This policy should be developed in an open, transparent and broad process considering all perspectives. Development of this new policy could be guided by the existing PPM 220-01 and certain parts could potentially be re-used. Nevertheless, we anticipate that only a small fraction of this outdated policy would still be applicable to today's conditions and goals.

In the meantime, we further recommend that the current language in PPM 220-01 be removed, and that only a reference to the UC Office of the President's Administrative Policies and Procedures Concerning Organized Research Units remain in its place. This OP policy can be found online at <http://www.ucop.edu/research/policies/documents/orupolicy.pdf>. A copy of this policy is also attached for your reference.

Linda Bisson
January 10, 2012
Page 2

Please use this letter to communicate our recommendations to concerned Academic Senate committees so that we may all work together to develop an improved UC Davis policy regarding Organized Research Units.

Sincerely,

A handwritten signature in black ink, appearing to read "Harris Lewin". The signature is fluid and cursive, with a large initial "H" and "L".

Harris A. Lewin, Ph.D.
Vice Chancellor for Research

/pk

Attachments

c: Cindy Kiel
Bernd Hamann
Molly Theodossy

April 23, 2010

MOLLY THEODOSSY

Policy Coordinator
Offices of the Chancellor and Provost

Re: PPM 220-01 and 220-01a Amendment Review: Organized Research Units

The Davis Division of the Academic Senate forwarded your request for review of proposed Policy and Procedure Manual 220-01 amendment to all of the standing committees of the Division as well as Faculty Executive Committees within each college/professional school. The Committee on Research-Policy Subcommittee (CORP) responded to the request; specifically:

The committee is concerned that ORUs never seem to go away. In recent years this seems only to happen when some crisis creates a need for immediate, unilateral action by the Office of Research. CORP notes that the proposed changes actually weaken the ORU disestablishment mechanism. In the current PPM, officially an ORU has a maximum life of 15 years, after which the campus must request approval of an extension from the President (section VI). Therefore, disestablishment should not routinely result in elimination of the unit. Rather disestablishment should be a natural consequence of a successful ORU transitioning to becoming a self-supporting campus unit no longer in need of support as an ORU.

In the proposed revision, the 15-year limit is abbreviated and moved to III.C. The only disestablishment procedure provided in section VIII begins by stating a recommendation from the ORU Review Committee for disestablishment. There is no discussion of what happens if the ORU has been around 15 or 20 years and the review committee still recommends continuation. The policy needs to set forth the protocol for meeting this requirement. Further, the past few years have emphasized a need to initiate disestablishment without a review committee asking for it. There needs to be a clear and effective process for termination. The protocol needs to be included in the policy before publication. Further any protocol for disestablishment must include proper consultation with members of the ORU and the Davis Division of the Academic Senate.

Finally, there are some typos that need to be fixed, such as in the following section:

IV. Procedures for Establishment A. ORP 1. An ORP may be established when a group of faculty form an interdisciplinary research group, identifying a pilot interdisciplinary research project, with the intention of developing into ~~and~~ an ORU.

Given the concerns above, the Davis Division is not supportive of the proposed revision as presented. We believe the policy proposal is incomplete and in need of further refinement. We request re-review once the policy is refined.

Sincerely,



Robert Powell, Chair
Davis Division of the Academic Senate
Chair & Professor: Chemical Engineering & Materials Science
Professor: Food Science & Technology

Davis Division of the Academic Senate
Compilation of Responses
Proposed Revision to PPM 220-01: Organized Research Unit Policy

Research

COR Policy is not clear why there needs to be formal language and protocols for forming an Organized Research Project (ORP). This strikes the committee as micromanaging, but perhaps it's justified if the campus is contributing resources.

The committee is concerned that ORUs never seem to go away. In recent years this seems only to happen when some crisis creates a need for immediate, unilateral action by the Office of Research. CORP notes that the proposed changes actually weaken the ORU disestablishment mechanism. In the current PPM, officially an ORU has a maximum life of 15 years, after which the campus must request approval of an extension from the President (section VI).

In the proposed revision, the 15-year limit is abbreviated and moved to III.C. The only disestablishment procedure given (section VIII) starts with a recommendation from the ORU Review Committee for disestablishment. There is no discussion of what happens if the ORU has been around 15 or 20 years and the review committee still recommends continuation. CORP agrees that there should be a way for the Office of Research to initiate disestablishment, without a review committee asking for it. There needs to be a much clearer and followed termination protocol for ORU's.

Finally, there are some typos that need to be fixed, such as in the following section:

IV. Procedures for Establishment A. ORP 1. An ORP may be established when a group of faculty form an interdisciplinary research group, identifying a pilot interdisciplinary research project, with the intention of developing into AND ORU.

DEADLINE EXTENDED FOR THE ACADEMIC SENATE AND ACADEMIC FEDERATION

Gina Anderson

From: Molly Theodossy
Sent: Thursday, February 11, 2010 12:00 PM
To: Gina Anderson; 'irblake@ucdavis.edu'; Olsen, Kathy; 'srroth@ucdavis.edu'; 'mhcarter@ucdavis.edu'; Richard Catalano (UCDMC); Steven Drown; 'dfranke@ucdavis.edu'; 'Michele Fulton'; Bernd Hamann; Leslye Hays; 'Kaiser, Thomas'; Robert Loessberg-Zahl; 'Mary McNally'; Connie Melendy; 'Donna W. Olsson'
Subject: PPM Review Request, Due 3-1-10
Attachments: 220-01.doc; 220-01a.doc

Policy and Procedure Manual Review Request

Date: February 11, 2010

Response requested by: March 1, 2010

To: G. Anderson, Academic Senate/Academic Federation
I. Blake/K. Olsen/S. Roth, College of Letters and Science
M. Carter-Dubois, School of Education
R. Catalano, Internal Audit
S. Drown, Campus Counsel
D. Franke, School of Veterinary Medicine
M. Fulton, College of Engineering
B. Hamann/L. Hays, Office of Research
T. Kaiser, College of Agricultural and Environmental Sciences
R. Loessberg-Zahl, Offices of the Chancellor and Provost
M. McNally, Graduate School of Management
C. Melendy, Academic Personnel
D. Olsson, College of Biological Sciences

From: Molly M. Theodossy
Campus Policy Coordinator

Section: 220-01, Organized Research; Exhibit A, Guidelines for the Review of Organized Research Units (ORU)

Purpose: Major revision; describes administrative policies and procedures concerning the establishment of an Organized Research Unit (ORU), Organized Research Project (ORP), or non-ORU research unit. It also describes the procedures for administration, naming, review, and disestablishment of an ORU.

This draft was developed in consultation with Academic Senate committees and the Chair of the Academic Federation.

A draft of the section is attached for your review. Please review the draft, entering your edits and comments in the attached file.

Return the edited file directly to me, via email, by the response date indicated above. In your return email, indicate any additional individuals in your office who have reviewed the draft.

No response by the deadline above will be interpreted as your concurrence with the proposed manual section.

Reviewers' comments and suggestions will be compiled, and I will work with the policy/process originator to resolve any issues. Once the comments are reconciled, I will prepare a final draft for approval by the originator, by the appropriate vice chancellor or vice provost, and by the Provost and Executive Vice Chancellor prior to publication.

DEADLINE EXTENDED FOR THE ACADEMIC SENATE AND ACADEMIC FEDERATION

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Molly M. Theodossy  
University Investigator and Policy Coordinator  
Offices of the Chancellor and Provost  
UC Davis  
One Shields Avenue  
Davis, CA 95616  
530-752-2407 (tel)/530-752-2400 (fax)  
[mmtheodossy@ucdavis.edu](mailto:mmtheodossy@ucdavis.edu)  
<http://manuals.ucdavis.edu>

June 13, 2008

**MOLLY THEODOSSY**

Offices of the Chancellor and Provost

**RE: Organized Research (PPM 220-01) Draft Revisions**

Dear Molly:

Thank you for your patience as the Office of Research completed a comprehensive review and revision of the Organized Research Unit (ORU) Policy & Procedure, Section 220-01. As you know, we began this process more than three years ago and actively engaged the Davis Divisional Academic Senate in the process. In addition, the ORU Directors were consulted in order to better understand the process from the perspective of the affected units.

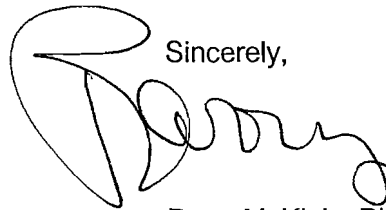
The UC policies and "Compendium," under which ORUs are created and operate, allow for campus distinctions in certain areas; however, certain sections are not written for interpretation. This collaborative effort with the Academic Senate allowed for faculty input and provided us with the opportunity to articulate the rationale for specific wording or limitations. Modifications were made to better align campus policy with UC policies. In addition, faculty expressed a need for clarification and/or additional information regarding specific ORU processes. We considered each comment and compared the recommendations against UC and Academic Personnel policies asking for guidance when necessary. An updated flow chart for the ORU program and director review is attached for your information.

The revisions to this policy were quite extensive and included the standardization of format and topics that were implemented by your office. Attached is the final product of our efforts, which recently received approval by the Academic Senate committees as well as the Chair of the Academic Federation. In addition to the minor wording and formatting revisions throughout the document, made for the reasons stated above, the most notable changes are the following:

- Elimination of two exhibits (Exhibit A and Exhibit B) by removing redundancies and inserting relevant information within the policy.
- More specific information was added for establishment of an ORU and establishment of an ORP.
- Procedure for Establishment of non-ORU "Institute," "Laboratory," or "Center" was added at the Academic Senate's request in IV.C. The rationale for including this section within the ORU policy, instead of creating a separate policy is twofold:
  - Limitations for the use of these names are referenced in II.B as provided in the UC policy.
  - Including a procedure for and explanation of the process allows us to refer to a single location; this request is coming up.
- ORU Name Change process (IV.D) was added to this policy during the campus modifications of PPM, Section 200-50.
- Sections IV. F, G, and H were added in order to clarify the processes.

- A single policy exhibit remains in order to provide the ad hoc ORU Review Committees with a single location that concisely explains the role and responsibility for carrying out a review. Former review committee members had expressed concern over the multiple locations that contained this information. The proposed draft allows the committees to use the exhibit as a reference for completing their review.

Thank you for your careful evaluation of the draft revision of PPM, Section 220-01. As you know, updating this important policy has been a long and collaborative effort. I recommend that the following individuals and groups be included in the review process: CODVC, Internal Audit, Campus Counsel, Assistant Executive Vice Chancellor, and Research Compliance.

Sincerely,  


Barry M. Klein, Ph.D.  
Vice Chancellor for Research

/led

Attachments

c: Associate Vice Chancellor Bernd Hamann  
Special Advisor to the Vice Chancellor Leslye Hays



**DEADLINE EXTENDED FOR THE ACADEMIC SENATE AND ACADEMIC FEDERATION**  
**UC Davis Policy and Procedure Manual**

**Chapter 220, Research--General**

**Section 01, Organized Research**

**Date:** Draft 2/10/10

**Supersedes:** 6/24/94

**Responsible Department:** Office of Research

**Source Document:** Administrative Policies and Procedures Concerning Research Units

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*Exhibit A, Guidelines for the Review of Organized Research Unit (ORU)*

**I. Purpose**

This section describes administrative policies and procedures concerning the establishment of an Organized Research Unit (ORU), Organized Research Project (ORP), or non-ORU research unit. It also describes the procedures for administration, naming, review, and disestablishment of an ORU.

**II. Definitions**

- A. Organized Research Project (ORP)—pilot project and necessary precursor to an ORU that fosters collaborative research and crosses boundaries among disciplines, departments, and schools or colleges, and that cannot be readily done within the confines of a single unit.
- B. Organized Research Unit (ORU)—collaborative, multidisciplinary academic unit established to administer research programs that complement the campus's academic goals.
  - 1. ORUs may have other academic functions normally carried out by departments of instruction or research (e.g., sponsor research conferences and meeting, advise on graduate curricula, provide support for graduate students or graduate programs) but cannot offer formal courses for credit to students or the public unless specifically empowered to do so by the President.
  - 2. The following name categories are reserved for ORUs (or ORPs if it will likely evolve into an ORU after a trial period of operation), with the exception of Center, to prevent misinterpretation of a project or unit as a University-approved ORU (also see IX, below):
    - a. Center—unit that furthers research in a designated field or is engaged primarily in providing research facilities for other units or departments.
    - b. Facility or Observatory—units similar in function to a Station but with a more narrow mission.
    - c. Institute—major unit that coordinates and promotes faculty/student research on a continuing basis in areas that extend across departments, schools, or colleges, and sometimes across campuses.
      - 1) Institutes may engage in public service activities stemming from its research programs.
      - 2) Institutes may consist of several centers.
    - d. Laboratory—non-departmental organization that establishes and maintains facilities for research in several departments, sometimes with the help of a full-time research staff.
    - e. Station—unit that provides physical facilities for interdisciplinary research in a broad area (e.g., agriculture), sometimes housing other units or serving several campuses.
- C. Multicampus Research Unit (MRU)—collaborative, multidisciplinary academic unit, similar to an ORU, but report to the Office of the President (OP) to administer research programs among two or more campuses, including units with facilities and personnel on two or more campuses or units with facilities at a single location on or near one campus but involving extensive

participation of faculty or staff from other campuses.

**III. Policy**

- A. The process for the establishment, disestablishment, and naming of an ORU or MRU shall be in accordance with the University's system of shared governance and shall be consistent with relevant Universitywide policy statements cited in this section.
- B. An ORP has a maximum existence of three years unless a formal ORU proposal has been submitted, in which case the ORP shall continue until the proposal has been considered, or unless an extension is approved by the Vice Chancellor—Research.
- C. An ORU has a maximum existence of fifteen years unless approved for extension by OP, and shall be reviewed by an ad hoc review committee at least every five years.
- D. ORU directorships are limited to ten years of continuous tenure unless extraordinary circumstances exist to extend the directorship.
  - 1. Directors shall be reviewed at least every five years.
  - 2. Whenever possible, the director review shall take place at the same time as the unit review.
- E. The Vice Chancellor—Research shall provide an annual list of all research centers and institutes on campus, including non-ORU research units, to the Academic Senate chair.

**IV. Procedures for Establishment**

- A. ORP
  - 1. An ORP may be established when a group of faculty form an interdisciplinary research group, identifying a pilot interdisciplinary research project, with the intention of developing into an ORU.
  - 2. The ORP designation confers eligibility for modest administrative or other kinds of appropriate support funds and establishment of an ORP account.
  - 3. The faculty members interested in forming the ORP shall develop a proposal that typically includes the following:
    - a. Goals and objectives.
    - b. Leader and associated faculty.
    - c. Disciplines involved in the project.
    - d. Location.
    - e. Current and potential extramural funding sources.
    - f. Additional information useful in determining appropriateness of the ORP.
  - 4. The faculty forwards the proposal to the Vice Chancellor—Research for review and consultation with the appropriate deans to determine their endorsement, and either approves or denies the proposal.
  - 5. If approved, a copy of the proposal and approval letter granting the ORP designation is forwarded to the divisional Academic Senate for information and reference should the ORP later submit an ORU proposal.
- B. ORU
  - 1. ORP lead faculty shall consult with the Office of Research, deans of schools/colleges, and department chairs affected to develop a formal proposal including the following

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information:

- a. One page description of the research subject matter in lay terms.
  - b. Background information, goals and objectives, and description of the added value and capabilities of the new unit, explaining why envisioned research efforts cannot be performed in existing units, especially other ORUs.
  - c. Names of faculty who have agreed in writing to participate in the unit's activities of the core faculty in interdisciplinary and multidisciplinary research collaborations.
  - d. Statement of original knowledge that unit will add to the field.
  - e. Description of the value and capabilities that will be added to the campus research program by the unit (e.g., fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative research or performing service, outreach to the public).
  - f. Projections of numbers of faculty, student and professional research positions and other personnel needs for initial five-year period.
  - g. Statement of anticipated benefits of the proposed unit to the teaching programs of participating faculty members' departments, particularly in reference to graduate education including opportunities for training, employment, and exposure to new knowledge and fields of endeavor.
  - h. Research plan and budget estimates for first three years of operation, including the following.
    - 1) Anticipated sources of funding.
    - 2) Academic goals or funding goals appropriate for the proposed unit for each of the first three years of operation.
    - 3) Strategy for discontinuing the unit if the goals are not met.
    - 4) Criteria and process for periodic evaluation of the unit by Office of Research.
  - i. Immediate and projected space needs, equipment, library resources, capital outlay, and other necessary facilities identifying the extent to which those needs are satisfied by existing arrangements and realistic projections for future resource needs.
  - j. Statement specifying the appropriate administrative unit's commitments of funds, space, and other resources necessary for the successful operation of the ORU.
    - 1) An ORU must have a commitment of funds and space for establishment.
    - 2) Actual or potential availability of extramural funds cannot be the sole basis for approving or continuing an ORU.
  - k. List of related departments and programs and their relationship to the proposed unit, comparison with similar research units, to what degree the proposed unit would duplicate other entities, and how the new unit would differ substantially from other entities, especially other ORUs.
2. Dean(s) and department chair(s) forward the proposal, letters of support and descriptions of commitment of space and resources for the unit to the Vice Chancellor—Research.
  3. Vice Chancellor—Research forwards the proposal to the Chair of the divisional Academic Senate for review by the appropriate standing committees.
    - a. The Committee on Planning and Budget shall review the academic goals and budgetary and resource implications, which includes an assessment or imposition of performance standards for the first three-year period of operations, to measure

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whether academic and funding commitments will be continued during the period preceding the unit's first five-year review.

- b. The Committee on Research shall review for consistency with the campus's research mission, quality of proposed work, and conflicts with other units.
  - c. The Graduate Council shall review the unit's contribution to graduate education under its guidelines.
  - d. The Executive Council shall receive standing committee reports for assessment and recommendation and reconcile any disagreements among the standing committees.
4. The Academic Senate Chair transmits the recommendation to the Vice Chancellor—Research.
  5. The Vice Chancellor—Research forwards the proposal and recommendation to the Office of Resource Management and Planning (ORMP) and the Council of Deans and Vice Chancellors (CODVC) for review and recommendation to the Chancellor.
  6. The Chancellor approves or denies the proposal and notifies OP of the new ORU's establishment and recommendation for inaugural director.

In cases of conflicting recommendation or disagreement, the Chancellor (or designee) shall consult with the Academic Senate Chair, however, the Chancellor retains final authority to approve establishment.

## **V. Administration of ORU**

### **A. ORU Director**

1. The ORU shall be headed by a director or co-directors who are tenured faculty members.
2. The Chancellor appoints the inaugural director.
3. The Chancellor appoints directors of existing ORUs from a pool of nominees from the unit advisory committee, based on recommendation of the Vice Chancellor—Research and in consultation with the divisional Academic Senate.
4. The director may receive an administrative stipend in addition to faculty salary unless the faculty member already receives a stipend through another appointment (e.g., when serving as associate dean).
  - a. When possible, dual administrative responsibilities should be avoided.
  - b. See UC Administrative Procedures Concerning Organized Research Units, APM Section 242, and APM UCD Appendix II-C for additional information on appointment and administrative duties of ORU directors.

### **B. ORU Advisory Committee**

1. The director shall be aided by a standing advisory committee with members appointed by the Vice Chancellor—Research.
  - a. Committee membership shall consist predominantly of faculty members but may include members from the professional research series or individuals from outside the University.
  - b. The committee shall be chaired by a faculty member, other than the director, who is a member of the divisional Academic Senate.
  - c. The ORU director serves as an ex-officio member of the advisory committee.
2. The committee charge, functions, and reporting requirements, as determined by the Vice

Chancellor—Research, shall include active contribution to planning and evaluation of the ORU programs and activities.

- a. The committee may be asked to participate actively in setting the unit's goals and critically evaluating its effectiveness on a continuing basis.
  - b. The director may call on the advisory committee as needed to counsel on other matters pertaining to the unit (e.g., serve on subcommittees to review grant proposals, advise in allocating funds or services, assist with recruitments).
3. The advisory committee shall meet regularly, at least annually.
  4. The chair of the ORU advisory committee, and as many other members as practical, shall be available to meet with the ORU review committee and otherwise be available for consultation by the committee during the course of a unit review (see VI.A, below).
  5. The director may be aided by additional committees (e.g., to advise in areas or outreach and engagement, scientific boards as required by extramural agencies).

One of these additional advisory committees may serve as the required ORU advisory committee if appointed by the Vice Chancellor—Research if it meets criteria for an ORU advisory committee.

C. ORU Reporting

1. ORUs report to the Vice Chancellor—Research.
  - a. The Vice Chancellor—Research is responsible for monitoring and enforcing performance criteria for continued funding that were incorporated in the ORU approved proposal.
  - b. The Vice Chancellor—Research designates a lead dean(s) for the unit, who is generally the dean of the school/college most directly affected by the ORU.
  - c. Budgetary support for each ORU is determined by the Vice Chancellor—Research, in negotiation with the director and the lead dean or co-lead deans.
2. The chair of the ORU advisory committee shall provide a written update to the director each year in preparation for the annual report.
3. The ORU shall provide an annual report to the Vice Chancellor—Research at the end of each academic year (see Section 200-06) that contains the following:
  - a. Names of graduate students and postdoctoral researchers contributing directly to the unit, who are on the unit's payroll or participate through assistantships, fellowships, traineeships, or are otherwise involved in the unit's efforts.
  - b. Names of faculty actively engaged in the unit's research or its supervision.
  - c. Extent of student and faculty participation from other campuses.
  - d. Numbers and FTE of professional, technical, administrative, and clerical personnel on the unit's payroll.
  - e. List of unit's publications, including author, titles, and production costs (when appropriate) for books, journal articles, proceeding papers, reports, and reprints issued under the unit's own covers.
  - f. All sources and amounts (annual) of support funds, including income from sale of publications or other services.
  - g. Expenditures from sources of support funds distinguishing use of funds for administrative support, research, and other specified uses.

- h. Description and amount of space currently occupied.
- i. Other information relevant to the evaluation of the unit's effectiveness, including updated five-year projections of plans and resource requirements where feasible.

**VI. Procedures for Review**

A. ORU unit review (also see Exhibit A)

1. The Chancellor (or Vice Chancellor-Research) shall initiate a review of each ORU at least every five years to ensure the research conducted is of the highest possible quality and that campus resources are allocated wisely and in line with campus priorities.
2. The Vice Chancellor—Research shall appoint an ad hoc review committee from a slate nominated by the divisional Academic Senate.
  - a. The number of members and composition of the committee shall be determined in consultation with the divisional Academic Senate.
  - b. External committee members may receive a stipend for service.
3. The review committee chair shall inform committee members and others with whom the committee consults, of the confidential nature of the proceedings.
  - a. Review committee membership, deliberation, and recommendation are normally kept confidential.
  - b. The committee's final report must be kept confidential.
4. The committee may interview the director, personnel associated with the unit, the ORU advisory committee (or its chair), or others deemed necessary for a thorough review of the unit.
5. The committee shall have access to the director's five-year report, comments from the ORU advisory committee, annual reports, explicit budgetary and expenditure information, and other information deemed necessary to adequately review the unit.
6. The review committee shall prepare a five-year review report.
  - a. The signed report shall be submitted to the Vice Chancellor—Research, who may provide a confidential copy to the ORU director and lead dean for review and comment.
  - b. The Vice Chancellor—Research shall review the report and responses and recommend clarifications or revisions to the review committee.
  - c. The Vice Chancellor—Research forwards the final committee report to the divisional Academic Senate for review and comment, and to ORMP if the unit is requesting name or space changes.
  - d. The Vice Chancellor—Research forwards the committee report and comments from the Academic Senate and Office of Research to CODVC for review and recommendation to the Chancellor.
  - e. The Chancellor approves or denies recommendations.
  - f. The Vice Chancellor—Research meets with the director and lead dean to discuss and implement approved recommendations.

B. Director review

Review of ORU directors shall be in accordance with existing academic personnel policy (see [Academic Personnel Manual UCD Appendix II-C.](#))

**VII. Procedures for ORU Name Change**

- A. The ORU Director prepares a proposal describing the rationale for the new unit name.
  - 1. Requests for new name usually reflect a new direction in interdisciplinary research sponsored by the unit, the expansion or addition of new knowledge or fields of research to the unit's mission, or the institutionalization of new methodologies of study.
  - 2. Other specific review guidelines may be determined by the Executive Council of the college/school most affected by the ORU.
  - 3. The request for name change shall be requested at the time of the five-year review whenever possible (see VI.A, above).
- B. The Director submits the proposal to the dean(s) of the college(s)/school(s) most affected by the ORU to secure letters of support.
- C. The Director submits the proposal with the letters of support to the Vice Chancellor—Research, who reviews the proposal and forwards it to the Academic Senate for review.
- D. The Academic Senate Chair returns written comments to the Vice Chancellor—Research, who submits the proposal with attached letters and comments to CODVC for review and recommendation to the Chancellor.
- E. The Chancellor reviews the proposal and recommendations for approval and notifies the Vice Chancellor—Research of final determination.
- F. The Vice Chancellor—Research notifies the Director of the decision for appropriate communication to campus departments.

**VIII. Procedures for Disestablishment**

- A. ORP
  - 1. ORP status is established for a period of three years; the ORP will automatically be terminated at the end of that period unless a formal ORU proposal has been submitted, in which case the ORP shall continue until the proposal has been considered, or unless an extension is approved by the Vice Chancellor—Research.
  - 2. If ORU status is not approved but the program warrants continuation, the ORP may become a program within an existing ORU.
- B. ORU
  - 1. If an ORU Review Committee recommends disestablishment, the recommendation is reviewed by the ORU director, ORU advisory committee, lead dean, department chairs, other affected ORU directors, divisional Academic Senate, and the Vice Chancellor—Research.
  - 2. The Vice Chancellor—Research forwards the recommendation for disestablishment to CODVC to solicit additional comment from deans prior to approval by the Chancellor.
  - 3. The Chancellor issues a formal letter of disestablishment and notifies OP.
  - 4. A phase-out period of sufficient length (normally one year or less) to permit the orderly termination or transfer of contractual obligations will be determined.
  - 5. Funding for the ORU will revert to the Vice Chancellor—Research or other administrative units when appropriate.

**IX. Non-ORU Research Units**

- A. A non-ORU research unit established within a single school, college, or department (including

an existing ORU) may be allowed to be designated as non-ORU research unit as follows.

1. The faculty members proposing the non-ORU research unit shall submit an application to the dean of the school or college in which the research unit is located that includes the following:
    - a. The name of the research unit.
    - b. Purpose in supporting research on campus
    - c. Leadership and participating faculty with department affiliation
    - d. Funding sources
    - e. Role of students participating in the research unit.
  2. The name of the research unit should reflect the school, college, or department when possible.
  3. The application shall be reviewed by the Executive Committee of the school/college and approved by the dean (or by the Vice Chancellor—Research when the unit is part of an existing ORU).
  4. The dean shall report the establishment and disestablishment of any non-ORU research units to the Vice Chancellor—Research and provide an annual report of the revenues and expenditures of those units.
  5. The dean shall be responsible for the operation of the non-ORU research unit.
- B. The Vice Chancellor—Research must approve, in writing, the use of an ORU-reserved unit title in a grant application to describe an academic unit that may be formed in cases when the usage of such a reserved term is not mandatory per agency regulation.
1. A request from the Principal Investigator (PI) shall be sent to the Vice Chancellor—Research with written approval from the dean of the school/college.
  2. If funded, the PI shall notify the Vice Chancellor—Research.
- C. The Vice Chancellor—Research shall approve the use of an ORU-reserved unit title in cases where the funding agency makes mandatory the use of specific terms as part of the unit title (e.g., NSF Science and Technology Center, NSF Engineering Research Center).

**X. References and Related Policies**

- A. Regents' Policy on Organized Research Units  
(<http://www.universityofcalifornia.edu/regents/policies/6075.html>).
- B. UC Office of the President:
1. Administrative Policies and Procedures Concerning Organized Research Units  
(<http://www.ucop.edu/research/orupolicy.html>).
  2. Compendium on Universitywide Review Processes for Academic Programs, Academic Units, and Research Units (<http://www.ucop.edu/acadaff/accomp>).
- C. Academic Personnel Manual:
1. Section 242, Directors of Organized Research Units  
(<http://www.ucop.edu/acadadv/acadpers/apm/apm-242.pdf>).
  2. UCD Appendix II-C, Appointment and Review of Directors of Organized Research Units  
(<http://manuals.ucdavis.edu/apm/II-C.pdf>).



**Guidelines for the Review of Organized Research Unit (ORU)**

**I. Responsibility of Review Committees**

The duty of the review committee is to ascertain the extent to which the ORU has succeeded in achieving its goals and the general goals of the University with regard to its original purpose, present functioning, research accomplishments (publications, grants and new collaborations resulting from research), future plans and continuing development to meet the needs of the field. The committee should consider and make specific recommendations for improvements in the mission, budget, administration, research focus, space and resource requirements, programs and activities, as well as provide recognition and encouragement of achievement in the unit.

**II. Committee Effectiveness**

The effectiveness of the committee depends on its prompt attention to its assignment and conduct of the review with all possible dispatch, consistent with judicious and thorough consideration of the case.

The review committee should have access to explicit budget information, including amounts and sources of all funds and expenditures. The committee should assess whether the budget is adequate and appropriate to support the unit's mission.

Requests for additional information must go through the Office of Research. The Office of Research will then forward the requested information to the committee.

The review committee chair is responsible for ensuring that each committee member has read and understands these instructions.

**III. Scope and Criteria for Review**

The review committee shall judge the unit according to these guidelines with respect to its purpose, program and success, considering its record of performance in research, teaching, impact on the campus and public service. In evaluating the unit's effectiveness, the review committee shall exercise reasonable flexibility, recognizing that each unit presents unique problems and issues.

The criteria set forth below are intended to serve as a guide in judging the unit, not to set boundaries to the elements of performance that may be considered.

**A. Research**

1. Quality of research accomplished and in progress.
2. Breadth and level of external funding.
3. Accomplishment of objectives as stated in the research mission of the ORU, evaluation of research and impact on the campus and in the community.
4. Benefit of the unit's research to other departments of instruction and research, including faculty and student personnel engaged in research within the ORU.
5. Quality of faculty and other research staff associated with the ORU as evidenced by, for example, awards, honors and presentations at national and international scholarly conferences.
6. Publications issued by the ORU, including reports and reprints in its own covers as well as published material, both by faculty, research staff and students. Publications in progress and in the developmental stages should be considered as well as doctoral dissertations by graduate students.
7. Interdisciplinary nature of the unit's research efforts.
8. Comparison with other similar units at other campuses and/or institutions.

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- B. Graduate, Postdoctoral, and Undergraduate Education
  - 1. Direct or indirect contributions of the ORU to graduate and undergraduate teaching/training programs in University academic departments, including unique opportunities for professional development, training and mentoring.
  - 2. Staffing of unit, including number of full-time academic staff with fractional appointments in academic department, faculty with part-time appointments in the ORU and degree to which each category participates in teaching programs of academic programs, including participation in regular courses and seminars, supervision of independent research and dissertations and group study by members of the ORU who are not regular faculty (visiting scholars, professional researchers, postdoctoral scholars, etc.).
  - 3. Type of students attracted to the ORU and department or graduate program affiliation; degree to which graduate and postdoctoral students participate in the ORU's activities through assistantships, fellowships, or traineeships, or are otherwise involved in ORU work including paid employment and graduate student research; published work and/or success at securing funding to support scientific activities.
  - 4. Administrative support to graduate studies, including that provided for both doctoral and postdoctoral training.
  - 5. Sponsorship of internships with or without credit for graduate or undergraduate students or postdoctoral scholars; students supported throughout their tenure.
  - 6. Student and faculty participation from other campuses in regard to all of the above.
  - 7. Role played in post-graduate placement and any aspect of ORU training in this placement; current professional status of ORU graduates over the past five years, including location and title.
  - 8. Distinction from graduate groups/programs (e.g., focus, interdisciplinary approach); research environment or opportunity for funding not otherwise possible through traditional graduate program; novel, team-authored research grants or training grants not obtainable through traditional academic alliances.
- C. Impact on Campus
  - 1. Evidence that existence of ORU was factor in attracting faculty or students to campus.
  - 2. Effect of the ORU on campus programs, including statements as to why goals and objectives could not be accomplished within existing departmental structure.
  - 3. Relationship and interactions of the ORU to campus departments hosting similar or closely related research areas.
  - 4. Assessment of the uses of all resources available to the unit and evaluation of the unit's internal and external sources of support in relation to its mission.
  - 5. Advantages and disadvantages to the campus that might reasonably be expected to occur in the future if the unit were continued/discontinued.
- D. Public Service
  - 1. Contributions in the form of lectures, tours, visiting groups, conferences, etc., within the community, state, and nation, as well as services to the campus community.
  - 2. Other services to the community, state, and nation, such as distribution of research information, recognition by non-University groups or governmental agencies, etc.
  - 3. Other evidence of the direct, tangible impact of the activities of the ORU on the public at

large.

4. Interactions with industry, national laboratories, etc.

E. Management and Administration

1. Evidence of leadership of ORU director—guiding ORU into new areas, new funding sources, securing access to needed facilities and overseeing administrative activities.
2. Effectiveness of advisory committee and other committees or boards established to counsel the director.
3. Satisfaction of ORU-affiliated faculty, students, postdoctoral scholars and staff.
4. Adequacy of resources including funding, space and equipment.

**IV. Review Report**

- A. The review report shall summarize the perceived strengths and weaknesses of the ORU based on the committee's findings. The report forms the basis for further unit review and should contain the following information:
1. A brief, concise statement detailing the history, mission and scope of the ORU and its relationship with academic and research departments on campus.
  2. An appraisal of all significant evidence, favorable and unfavorable, adequately documented by specific references to attached supporting material.
  3. Specific analytical evaluation of the ORU with respect to research, impact on campus and beyond, teaching, public service and unit management and administration.
  4. An evaluation of the resources of the unit (the committee should consider and make specific recommendations on the following range of options: a change in State funding; a change in other resource, e.g., FTE, space; a change in the mission of the unit; a merger of the unit with one or more other units; discontinuation of the unit).
  5. A summary of the recommendation of the review committee according to its charge, including any other suggested changes for improvement to policy or activities.
- B. The report shall contain a clearly written recommendation for disestablishment or justification for continuation. Any justification for continuation should be based on the following criteria:
1. Goals and objectives.
  2. History and accomplishments over the past five years.
  3. Value and capabilities that the ORU has brought to the campus that would be difficult to achieve otherwise.
  4. Impact on existing programs and units, including benefits to teaching programs of participating faculty members' departments or graduate groups.
  5. Proposed research, educational and public service activities for the next five years.
  6. Names of faculty who have agreed to participate in activities over the next five years.
  7. Space and resource needs and anticipated sources of funding over the next five years.
  8. Persuasive rationale for continuation and consequences if unit were not continued.
- C. The review committee has the responsibility for making an unequivocal recommendation. No member should subscribe to the report if it does not represent his or her judgment. If the committee cannot come to a unanimous decision, the division of the committee and their

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reasons should be communicated in the body of the report or in separate concurring or dissenting statements by individual members, submitted with the main report and with the cognizance of the other committee members.

- D. If appropriate, the committee may prepare a separate confidential statement to the Vice Chancellor - Research. The committee may also provide the Vice Chancellor - Research with confidential letters from individuals during the review process.
- E. Whenever the unit and director are being reviewed simultaneously, two separate reports shall be prepared. The review of the director and subsequent report must remain confidential. The chair of the committee shall remind members, and others with whom the committee would consult, of the confidential nature of the assignment.
- F. The review committee shall assess the success or failure of the director in guiding the unit according to the same criteria used in the review of the program itself. This review is in no way connected with merit and promotion review as a member of the faculty.