February 9, 2004

TO: J.H. Turner, Chair, Committee on Planning and Budget

FROM: R.A. Luben, Interim Vice Chancellor for Research

RE: Policies and Procedures for Establishment and Review of Centers and ORUs

In response to the Committee's comments of December 18, 2003, the documents referred to have been modified. Specifically, a paragraph has been added to Section 8 of the document entitled "Administrative Policies and Procedures Concerning Campus Organized Research Units (ORUs) and Non-ORU Research Centers," detailing the notification of the ORU Director and the appointment of the review committee. The Director will be notified of the pending review six months in advance of each five-year anniversary of the Chancellor's original approval of ORU status for the unit, and will have the opportunity to comment on the proposed membership of the review committee. The Director may request that the Chancellor remove any member deemed unsuitable prior to the final appointment of the committee members by the Chancellor.

The document entitled "Checklist for the REVIEW of an Organized Research Unit" has been modified to include the above mentioned provisions.

The document entitled "Checklist for the ESTABLISHMENT of an Organized Research Unit (ORU) or Non-ORU Research Center" has not been changed but its date has been modified to match the other two documents.

The revised documents are attached. An electronic version will be supplied to the Academic Senate office.
COMMITTEE ON PLANNING AND BUDGET
REPORT TO THE RIVERSIDE DIVISION
FEBRUARY 17, 2004

TO BE ADOPTED:

The Committee on Planning and Budget approves the checklist for the Establishment and
Review of an Organized Research Unit (ORU) or Non-ORU Research Centers as described in
the following documents (approved February 9, 2004):

Proposal to Academic Senate
Richard A. Luben, Interim Vice Chancellor, Research
February 4, 2004

Committee on Planning and Budget, UCR
Administrative Policies and Procedures Concerning Campus Organized
Research Units (ORUs) and Non-ORU Research Centers

1. DEFINITION AND PURPOSE

Organized Research Units (ORUs) and Non-ORU Research Centers. The purpose of an
ORU or a Non-ORU Research Center is to provide a supportive infrastructure for the conducting
of collaborative and interdisciplinary research that is complementary to the academic goals of
departments of instruction and research. An ORU or Center facilitates faculty research,
organizes research conferences and meetings, advises on graduate curricula, helps professors
provide guidance for graduate students, and manages training programs; but educational
programs intended for the public and for which fees are charged shall be administered through
University Extension. An ORU or Center does not have jurisdiction over courses or curricula
and cannot offer formal courses for credit. Under University regulations, both ladder-rank
faculty and Professional Research Series appointees may have their primary appointment in an
ORU, but not in a Non-ORU Research Center.

Organized Research Units (ORUs): These are formal long-term research units, recognized on
a continuing basis by the University and facilitated by significant commitments of institutional
support. ORUs are covered by both campus-level and University of California systemwide
regulations (see attached). ORUs require campus-level approval by the Chancellor, after advice
by the Academic Senate, the relevant Dean(s), and the Vice Chancellor for Research. ORUs are
subject to annual reports and five-year reviews under UC systemwide policies (see attached),
and have a maximum fifteen-year lifetime. ORUs may utilize names that include (but are not
limited to) the terms below, as guides to the nature and level of their intended functions.

Institute: a major unit that coordinates and promotes faculty and student research on a
continuing basis over an area so wide that it extends across department, school or
college, and even campus boundaries. The unit may also engage in public service
activities stemming from its research program, within the limits of its stated objectives.
**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 appointed in accordance with the guidelines of Section 6a below. (A laboratory in which substantially all participating faculty members are from the same academic department is a departmental laboratory and is not an ORU.)

**Center**: a small unit, sometimes one of several forming an Institute, which furthers research in a designated field; or, a unit engaged primarily in providing research facilities for other units and departments.

**Non-ORU Centers**: These are units that are formed by groups of faculty, by the Chancellor, by the Dean(s) or by other campus officers, for specific purposes. Their functions may be research, service, or administrative. These are organizations with limited lifetimes, and funding is allocated by the Chancellor based on analysis during the periodic campus budgetary approval process.

Examples of the types of Non-ORU Centers that may exist on campus are as follows:

**College, School, or Department Research Center**: This type of unit is a temporary grouping of researchers that is established by the Dean(s), by a Departmental Chair, or by another campus officer, using budgetary funds that are available to available to the Dean, Chair, or other officer through the normal course of campus budget approvals. Establishment of a College, School or Departmental Research Center requires an abbreviated review process by the Academic Senate and the Chancellor based on the procedures for establishment of an ORU (see below). The title of the unit indicates which campus officer is responsible for funding and oversight, e.g. The CNAS Center in (research specialty) or the Entomology Department Center in (research specialty). Such a Center may be a trial affiliation of faculty which is preliminary to the formation of an ORU, or a temporary grouping of researchers intended to meet a specific short-term need (e.g. accommodating a new line of research for the campus, applying for large multidisciplinary grants, etc.). The lifetime of such a Center is normally limited to three years, with a maximum of five years. After the lifetime of the Center (to be stated explicitly in the approval documents), the Center must either disband or be proposed for continuance as an ORU. No extensions of the lifetime of this type of Center will be contemplated.

**Research Support Facility**: a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing other units and serving several campuses. Terms such as Station, Analytical Center, Observatory, or Vivarium may also be used to more specifically define the functions of these units. These units are generally expected to be self-supporting, and have indefinite lifetimes. Continuation of these centers is dependent upon evaluation by the Chancellor in the periodic campus budgetary approval process, including consultation with the Senate (Committee on Planning and Budget) and the relevant Dean(s).

**Administrative or Service Center**: a unit that does not carry out research as its primary mission, but exists to provide a service for the campus and or for the community, such as a teaching center, an outreach center, or a public relations center. Procedures for the
2. APPROVALS

Organized Research Units or Non-ORU Research Centers may be formed only upon approval by the Chancellor after consultation with the Divisional Academic Senate. Before approval is granted, the campus may stipulate such terms and conditions as a process for appropriate periodic review, including administration, programs, and budget; appointment of a director and advisory committee; an appropriate campus reporting relationship; and progress reports. Notification of grant proposals to extramural funding agencies for the establishment of research centers should be made to the Divisional Academic Senate before or at the time such proposals are submitted.

3. LINES OF RESPONSIBILITY

All ORUs and Non-ORU Research Centers are responsible to the Chancellor or designee in terms of administration, budget, space, personnel, and quality. For the normal course of administration and reporting, the appropriate Dean, Department Chair, or other campus Officer, e.g. the Vice Chancellor for Research, will have management oversight as defined in the proposal for establishment of the ORU or Non-ORU Research Center.

4. ADMINISTRATION, BUDGETARY SUPPORT, PERSONNEL

An ORU Research Center shall be headed by a Director (called a chair in some centers) who shall be a tenured member of the faculty. A non-tenured faculty member may be the Director of a non-ORU Research Center. The Director may receive an administrative stipend in addition to the faculty salary, except that a faculty member who already earns such a stipend through another appointment (e.g. as associate dean) shall not receive a second stipend. Such dual administrative responsibilities should be avoided. The Director shall be aided by a standing Advisory Committee, chaired by a faculty member other than the Director, which is expected to meet regularly and to participate actively in setting the unit's goals and in critically evaluating its effectiveness on a continuing basis. The Advisory Committee shall be made up predominantly of faculty members, but may have some members from outside the University. The Advisory Committee of a center shall be appointed by the Chancellor. The charge to the committee and its functions, membership, and reporting requirements are determined by the appointing officer but should include -- active participation in the planning and evaluation of the unit's programs and activities.

5. BUDGET

In recognition of the role-played by ORUs and Non-ORU Research Centers in the educational process, provision for the core Administrative support of the unit is normally made in the College or School budget in the form of the Director's stipend and part-time salary, and allocations for Supplies and expenses, equipment and facilities and general assistance. The
College or School budgets of some units, notably those primarily serving other academic units (e.g., survey centers), and those engaged in professional activities of specific interest to the State of California (e.g., agriculture, industry, public administration, transportation), also may contain provisions for Professional Research (or other titles such as Agronomist or Astronomer) positions. But all permanent positions - professional, technical, administrative, or clerical - may be established and filled, regardless of the availability of funds, only after specific review and authorization of the proposed position and of the candidate for it in accordance with University policies and procedures.
6. PROCEDURE FOR ESTABLISHMENT

To establish an ORU or Non-ORU Research Center, the faculty members concerned submit a proposal stating the new unit's goals and objectives, describing what value and capabilities will be added by the new unit, and explaining why they cannot be achieved within the existing Department, College, School and Campus structure. The proposal should make clear how the center will be greater than the sum of its parts, for example, by fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative and original research, or performing a valuable service to the public. The proposal shall contain:

1. Proposed Name of Unit;
2. Type of Unit to be established (i.e., ORU; College Research Center; etc.);
3. Name of Director\(^1\) of Proposed Unit (include curriculum vita);
4. Names of faculty members who have agreed in writing to participate in the unit’s activities (include curriculum vitae);
5. Proposed Unit’s goals and objectives (i.e., “to conduct research in furtherance of x”; “to foster an understanding of x via a, b, c”; etc.);
6. Research plan for the first year of operation and projections for the five years following;
7. Budget estimates for the first year of operation, projections for the five years following, and anticipated sources of funding;
8. Projections of numbers of faculty members and students, Professional Research appointees, and other personnel for the specified periods;
9. Statement about immediate space needs and how they will be met for the first year and realistic projections of future space needs;
10. Statement of other needs, such as capital equipment and library resources, and how they will be met for the first year, and realistic projections and future resource needs;
11. Projections of extramural support to be generated, with names of prospective agencies and/or programs expected to provide this support; estimates of probable increases in extramural support, over and above the current funding by the same group of faculty if the center were not to be approved;
12. Description of what value and capabilities will be added to the Campus by the Proposed Unit, and explanation of why they cannot be achieved within the existing Department, College, School and Campus structure;
13. Explanation of how the Proposed Unit will be greater than the sum of its parts (e.g., “by fostering new intellectual collaborations in [area(s) of research]”, “stimulating new sources of funding as a result of [specific efforts]”, “furthering innovative and original research in [area(s) of research]”, or “performing a valuable service to the public by [specific plan]”);
14. Statement about anticipated benefits of the proposed unit to the teaching programs of the participating faculty members’ department(s);
15. Statements about the existence of similar units elsewhere (and describe the relation of the proposed unit to similar units at other campuses of the University of California) and about the original knowledge that the proposed unit may be anticipated to add to the field

\(^1\) The Director of an ORU or Dean’s Research Center must be a tenured faculty member.
not provided by existing units. Actual or potential availability of extramural funds shall not serve as the sole basis for proposing, approving, or continuing a center.

16. Proposed Composition of Center or ORU Advisory Committee\(^2\) (include curriculum vitae);

The proposal is submitted for review to the Dean of the School or College most directly affected by the proposed unit's personnel, space, and equipment demands before being forwarded to the Chancellor or the Chancellor's designate, who shall seek the advice of the appropriate Divisional Academic Senate committees, including the Committee on Planning and Budget, the Committee on Research, and the Graduate Council. Establishment of an ORU or Non-ORU Research Center carries with it a commitment of space and funding adequate to the mission of the unit. **Therefore, all proposals are also to be reviewed by the appropriate campus committee concerned with space, buildings and campus development.** In the case of establishment of an ORU, the Chancellor or designate shall request the Vice Chancellor for Research to coordinate the administrative review of the proposal. Establishment of all ORUs will include review by an external review committee, the appropriate Senate Committees as delineated above, and the relevant Dean(s). The Vice Chancellor for Research will compile the relevant reviews, provide a summary recommendation, and forward the reviews and recommendation through the Executive Vice Chancellor to the Chancellor for decision. **In the case of establishment of a non-ORU Research Center,** the relevant Dean(s) who will provide the space and funding for the proposed Center shall request the Vice Chancellor for Research to coordinate the review, with the review to include the appropriate Senate Committees, and, at the discretion of the relevant Dean(s), an external review committee. The Vice Chancellor for Research will forward all relevant reviews with a summary recommendation through the Executive Vice Chancellor to the Chancellor for decision.

7. PROCEDURE FOR APPOINTING A DIRECTOR

The Director or Chairman of an ORU or Non-ORU Research Center is appointed by the Chancellor after consultation with an ad hoc committee of the Academic Senate appointed by the Chancellor from a panel nominated by the Committee on Committees, or by any other nomination procedure on which the Chancellor and the appropriate Academic Senate division have agreed. The Director or Chair is appointed by the Chancellor. When a unit reports to a Dean, the Dean's advice is also sought before an appointment is made. When the appointment of a new Director is for existing unit, the Advisory Committee is also solicited for nominations. An Associate or Assistant Director can also be appointed by the Chancellor after appropriate campus consultation.

\(^2\) The Director is aided by a standing Advisory Committee, chaired by a faculty member other than the Director, which meets regularly and participates actively in setting the unit's goals and in critically evaluating its effectiveness on a continuing basis. Specifically, the Advisory Committee provides counsel to the Director on all matters pertaining to the unit, including budgetary matters and personnel. The Chair of the Advisory Committee, and as many other members as practical, should meet with five-year review committees, and otherwise be available for consultation by the five-year review committee during the course of its review. The Advisory Committee is made up predominantly of faculty members, but may include some members from the professional research series and may have some members from outside the University. The Chancellor or Chancellor’s designee appoints the Advisory Committee.
8. PROCEDURE FOR FIVE-YEAR REVIEW

Each ORU shall be reviewed at intervals of five years or less by an *ad hoc* review committee, appointed from a slate nominated by the Divisional Academic Senate, with regard to its original purpose, present functioning, return on investment, future plans, and continuing development to meet the needs of the field. The review shall look to the unit's success in meeting previously established objectives (see paragraph 6), planned changes in program objectives, and planned steps to achieve new objectives. The review shall contain explicit budget information, including amounts and sources of all funds and expenditures, and whether the budget is adequate and appropriate to support the unit's mission. It is the responsibility of the Chancellor to initiate five-year reviews. The unit's Advisory Committee shall be formally asked to supply a report to the *ad hoc* committee. The Chancellor will also seek review, including formation of an external review committee in the case of the review of an ORU, by the Vice Chancellor for Research, who will coordinate the administrative review of the unit. After completion of the campus review, the proposal and recommendations are forwarded to the Chancellor for final resolution.

The Chancellor appoints the review committee for ORUs. The review committee will be chosen on the basis of their expertise, and will contain at least three members from outside the UCR campus in addition to at least one member from the UCR campus. The ORU Director and Advisory Committee will be notified of the pending review by the Chancellor or designate six months in advance of each five-year anniversary of the approval of the ORU by the Chancellor. A review committee will be proposed by the Vice Chancellor for Research after consultation with the relevant Dean(s), with the Director, and with the Academic Senate Committee on Committees. The Director will have an opportunity to comment on the proposed membership of the review committee prior to the Chancellor's final appointment of the members, and may request the Chancellor to remove any member of the committee deemed unsuitable. The Chancellor's decision on the composition of the committee will be final.

The review committee should consider and make specific recommendations on the following range of alternatives to the status quo: a change in funding; a change in other resources (such as FTE, space, etc.); a change in the mission of the unit; a merger of the unit with one or more units on the same campus; disestablishment of the unit. The review committee report shall take annual reports described in Paragraph 12 into account. Justification for continuation of an ORU must be documented carefully in the review committee report. The review report may be held confidential, but a copy is given to the Director for information.

The report is reviewed by the appropriate Divisional Academic Senate committee(s) (see paragraph 7) and a decision concerning continuation of the unit and any needed changes is made by the Chancellor upon consideration of the *ad hoc* review, the Senate committees' recommendations, and the administrative review carried out by the Vice Chancellor for Research. If, in the Chancellor's judgment, circumstances warrant disestablishment of the unit, such disestablishment is a final action, subject to the phase-out period provisions in the next paragraph.

9. PHASE-OUT

The phase-out period for an ORU which is to be disestablished shall be sufficient to permit an orderly termination or transfer of contractual obligations. Normally, the phase-out period shall
be at most one full year after the end of the academic year in which the decision is made to
disestablish the unit. Non-ORU Research Centers will have a defined lifetime as defined in their
establishment review, and no phase-out period other than what is planned for in the original
establishment process will normally be granted.

10. REVIEW OF DIRECTOR

The effectiveness of each Director or chair shall be reviewed by the review committee at the
time the unit is being reviewed, following the same procedure as for the unit review. If the unit
is to be continued, the decision whether to continue the appointment of the Director is made by
the Chancellor. Directorships of ORUs are limited to ten years of continuous tenure in all but
extraordinary circumstances.

11. REPORTS

At the end of each academic year, each center shall submit a report to the officer to whom it is
responsible, with copies to the Chancellor and to the Advisory Committee for the ORU or non-
ORU Center, which contains the following:

A. Names of graduate and postdoctoral students directly contributing to the unit who (a) are on
the unit's payroll, (b) participate through assistantships, fellowships, or traineeships, or are
otherwise involved in the unit's work.

B. Names of faculty members actively engaged in the unit's research or its supervision.

C. Numbers and FTE of professional, technical, administrative, and clerical personnel employed.

D. List of publications issued by the unit, including reports and reprints issued in its own covers,
and showing author, title, press run, and production costs.

E. Sources and amounts (on an annual basis) of all support funds, including income from the
sale of publications and from other services.

F. Expenditures, from all sources of support funds, distinguishing use of funds for administrative
support, matching funds, direct research, and other specified uses.

G. Description and amount of space currently occupied.

H. Any other information deemed relevant to the evaluation of a unit's effectiveness, including
up-dated five-year projections of plans and requirements where feasible.

12. LIFE SPAN

Beginning with its regular review during the five-year period each approved ORU will have a
maximum life span of fifteen years after which it must submit to the Chancellor a formal
proposal for continued ORU status, support funds, and space in the context of the University's
needs and resources at the time. In no case may an ORU be continued beyond these fifteen-year
periods without approval of the Chancellor. Non-ORU Research Centers will have a defined
lifetime as defined in their establishment review, and no life-span other than what is planned for in the original establishment process will normally be granted.
CHECKLIST FOR THE ESTABLISHMENT OF AN ORGANIZED RESEARCH UNIT (ORU) OR NON-ORU RESEARCH CENTER

TYPES OF UNITS COVERED BY THIS DOCUMENT:

**Organized Research Units (ORUs):** These are formal long-term research units, recognized on a continuing basis by the University and facilitated by significant commitments of institutional support. ORUs are covered by both campus-level and University of California systemwide regulations (see attached). ORUs require campus-level approval by the Chancellor, after advice by the relevant Dean(s), the Academic Senate, and the Vice Chancellor for Research. ORUs are subject to annual reports and five-year reviews under UC systemwide policies (see attached), and have a maximum fifteen-year lifetime. ORUs may utilize names that include (but are not limited to) the terms below, as guides to the nature and level of their intended functions.

- **Institute:** a major unit that coordinates and promotes faculty and student research on a continuing basis over an area so wide that it extends across department, school or college, and even campus boundaries. The unit may also engage in public service activities stemming from its research program, within the limits of its stated objectives.

- **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 appointed in accordance with the guidelines of Section 6a below. (A laboratory in which substantially all participating faculty members are from the same academic department is a departmental laboratory and is not an ORU.)

- **Center:** a small unit, sometimes one of several forming an Institute, which furthers research in a designated field; or, a unit engaged primarily in providing research facilities for other units and departments.

**Non-ORU Centers:** These are units that are formed by groups of faculty, by the Chancellor, or by other campus officers, for specific purposes. Their functions may be research, service, or administrative. These are centers with limited lifetimes, and funding is allocated by the Chancellor based on analysis during the periodic campus budgetary review process, including consultation with the Academic Senate (Committee on Planning and Budget).

**College, School, or Departmental Research Center.** This type of unit may be a trial affiliation of faculty which is preliminary to the formation of an ORU, or a temporary grouping of researchers intended to meet a specific short-term need (e.g. accommodating a new line of research for the campus, applying for large multidisciplinary grants, etc.). The lifetime of such a Center is normally limited to three years, with a maximum of five years. Establishment of a College, School or Departmental Research Center requires an abbreviated review process based on the procedures for establishment of an ORU (see below). After the lifetime of the Center (to be stated in the approval documents) the Center must disband or be proposed for continuance as an ORU.
**Research Support Facility:** a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing other units and serving several campuses. Terms such as Station, Analytical Center, Observatory, or Vivarium may also be used to more specifically define the functions of these units. These units are often self-supporting, and have indefinite lifetimes. Continuation of these centers is dependent upon evaluation by the Chancellor in the periodic campus budgetary approval process including consultation with the Academic Senate (Committee on Planning and Budget).

**Administrative or Service Center:** a unit that does not carry out research as its primary mission, but exists to provide a service for the campus and or for the community, such as a teaching center, an outreach center, or a public relations center. Procedures for the establishment and review of Administrative Centers or Service Centers will be established by the Executive Vice Chancellor.

**PROCEDURES FOR ESTABLISHING AN ORU OR A NON-ORU RESEARCH CENTER**

**STEP 1. OBTAIN AND REVIEW**

- Checklist for the Establishment of an ORU or Non-ORU Research Center (this document)
- Academic Senate Committee On Planning and Budget, UCR Administrative Policies And Procedures Concerning Campus Centers (copy attached)
- UC Administrative Policies And Procedures Concerning Organized Research Units, found at [http://www.ucop.edu/research/orupolicy.html](http://www.ucop.edu/research/orupolicy.html)

**STEP 2. PLAN**

- Determine research focus
- Determine type of organization (ORU, Non-ORU Center, etc.)
- Determine resource needs

**STEP 3. CONSULT**

- Interested Faculty or Faculty engaged in related research areas
- Dean(s) of College(s) or School(s) in related research areas
- Vice Chancellor for Research
- Executive Vice Chancellor

**STEP 4. PREPARE PROPOSAL FOR ESTABLISHMENT OF UNIT**

The Proposal for an ORU, or for a College, School or Departmental Research Center, must contain the following information:

1. Proposed Name of Unit;
2. Type of Unit to be established (i.e., ORU; College Research Center; etc.);
3. Name of Director\(^1\) of Proposed Unit (include curriculum vita);
4. Names of faculty members who have agreed in writing to participate in the unit’s activities (include curriculum vitae);
5. Proposed Unit’s goals and objectives (i.e., “to conduct research in furtherance of x”; “to foster an understanding of x via a, b, c”; etc.);
6. Research plan for the first year of operation and projections for the five years following;
7. Budget estimates for the first year of operation, projections for the five years following, and anticipated sources of funding;
8. Projections of numbers of faculty members and students, Professional Research appointees, and other personnel for the specified periods;
9. Statement about immediate space needs and how they will be met for the first year and realistic projections of future space needs;
10. Statement of other needs, such as capital equipment and library resources, and how they will be met for the first year, and realistic projections and future resource needs;
11. Projections of extramural support to be generated, with names of prospective agencies and/or programs expected to provide this support; estimates of probable increases in extramural support, over and above the current funding by the same group of faculty if the center were not to be approved;
12. Description of what value and capabilities will be added to the Campus by the Proposed Unit, and explanation of why they cannot be achieved within the existing Department, College, School and Campus structure;
13. Explanation of how the Proposed Unit will be greater than the sum of its parts (e.g., “by fostering new intellectual collaborations in [area(s) of research]”, “stimulating new sources of funding as a result of [specific efforts]”, “furthering innovative and original research in [area(s) of research]”, or “performing a valuable service to the public by [specific plan]”); 
14. Statement about anticipated benefits of the proposed unit to the teaching programs of the participating faculty members’ department(s);
15. Statements about the existence of similar units elsewhere (and describe the relation of the proposed unit to similar units at other campuses of the University of California) and about the original knowledge that the proposed unit may be anticipated to add to the field not provided by existing units. Actual or potential availability of extramural funds shall not serve as the sole basis for proposing, approving, or continuing a center.
16. Proposed Composition of Center or ORU Advisory Committee\(^2\) (include curriculum vitae);

\(^1\) The Director of an ORU or Dean’s Research Center must be a tenured faculty member.

\(^2\) The Director is aided by a standing Advisory Committee, chaired by a faculty member other than the Director, which meets regularly and participates actively in setting the unit's goals and in critically evaluating its effectiveness on a continuing basis. Specifically, the Advisory Committee provides counsel to the Director on all matters pertaining to the unit, including budgetary matters and personnel. The Chair of the Advisory Committee, and as many other members as practical, should meet with five-year review committees, and otherwise be available for consultation by the five-year review committee during the course of its review. The Advisory Committee is made up predominantly of faculty members, but may include some members from the professional research series and may have some members from outside the University. The Chancellor or Chancellor’s designee appoints the Advisory Committee.
STEP 5. PROPOSAL REVIEW

- A proposal for an ORU is submitted to the Executive Vice Chancellor (EVC), who will forward the proposal for review to the Vice Chancellor for Research (VCR), who will coordinate the campus review process. The VCR will request reviews of the proposal from the following:
  - The Dean(s) of the School(s) or College(s) most directly affected by the proposed unit’s personnel, space, and equipment demands. If the research area of the proposed unit covers more than one School or College, all relevant Deans will review the proposal. The Dean(s) will advise the VCR on the composition and charge of the external review committee
  - An External Review Committee composed of at least three non-UCR experts in the field of research covered by the proposed unit.
  - The appropriate Academic Senate Committees.
- After all reviews are completed, the VCR will compile the reviews by the Dean(s), the External Review Committee, and the Academic Senate committees, and, after final consultation with the relevant Dean(s), will forward these recommendations through the Executive Vice Chancellor for final review and decision by the Chancellor.
- The Chancellor, through the Executive Vice Chancellor, notifies the VCR and the Dean(s) regarding whether the Unit has been approved, or whether the proposal requires additional information.

- A proposal for a College, School, or Departmental Research Center is submitted to the relevant Dean(s), who will review the proposal in consultation with the VCR, the Academic Senate, and the EVC. Depending upon the specific nature of the proposal, an external review committee may also be appointed by the VCR at the request of the Dean(s).
- After review of the proposal, the relevant Dean(s) will recommend to the Chancellor whether the proposed Center should be established within the College, School or Department requested. The recommendation shall also include the proposed lifetime of the Center (normally three years, with a maximum of five years).

STEP 6. ESTABLISHMENT

- The Chancellor or designee establishes the new Unit
- The Chancellor or designee appoints the Director, and the Advisory Committee of the new Unit.
- Establishment of an ORU carries with it a commitment of space and funding adequate to the mission of the unit, consistent with the periodic Academic Planning and Budget process.
- The Chancellor or designee notifies the Vice Chancellor for Research of the establishment of the new unit for purposes of determining a schedule for review.

FLOW CHART
ORU ESTABLISHMENT
Faculty Group
Plans Proposal

Faculty Group Consults with Dean(s), VCR, EVC During Proposal Preparation

Final Proposal Submitted to EVC and to VCR for Review

VCR Consults with Dean(s) on charge and membership of review committee

VCR Forms External Review Committee

VCR Receives Report from External Review Committee

VCR Provides Reports to Academic Senate and Deans

VCR Receives Reviews from Senate

VCR Consults with Dean(s) and with Senate CP&B and other Committees

VCR Provides Reviews and Recommendations to EVC

CHANCELLOR'S DECISION
CHECKLIST FOR THE REVIEW OF AN ORGANIZED RESEARCH UNIT (ORU)
FEBRUARY 4, 2004

OBTAIN AND REVIEW

- Checklist for the REVIEW of an ORU (this document)
- Academic Senate, Committee On Planning And Budget: UCR Administrative Policies And Procedures Concerning Campus Centers (copy attached)
- UC Administrative Policies And Procedures Concerning Organized Research Units, found at http://www.ucop.edu/research/orupolicy.html

REVIEW PROCEDURE

- The Director will be notified of the pending review of the ORU six months in advance of each five-year anniversary of the original approval of the ORU by the Chancellor. The Director and the unit's Advisory Committee will be formally asked to supply reports for examination by the review committees.

- The Vice Chancellor for Research (VCR) will supervise and coordinate the review process in consultation with the Executive Vice Chancellor and relevant Dean(s).

- The VCR will request reviews of the unit from the following:
  - The Dean(s) of the School or College most directly affected by the unit’s academic research area(s), personnel, space, and equipment demands. If the research area of the proposed unit covers more than one School or College, all relevant Deans will review the proposal. The VCR also will consult with the Dean(s) regarding the charge and membership of the External Review Committee.
  - An External Review Committee including at least three non-UCR experts in the field of research covered by the proposed unit. The Director will have the opportunity to comment on the membership of this committee prior to the Chancellor's final appointment of its members.
  - The appropriate Academic Senate Committees.

- After all reviews are complete, the VCR will compile the reports by the Director and the Advisory Committee, the reviews by the Dean(s), the External Review Committee, and the Academic Senate committees, and, after final consultation with the Dean(s), will forward these through the Executive Vice Chancellor for final action by the Chancellor.

- The Executive Vice Chancellor notifies the Dean(s) and the Director of the Center regarding the Chancellor’s decisions regarding the review of the Unit.
Criteria for Review

- External and internal reviews will examine the performance of the unit with regard to its original purpose, present functioning, return on investment, future plans, and continuing development to meet the needs of the field.

- The review shall look at the unit’s success in meeting previously established objectives, planned changes in program objectives, and planned steps to achieve the new objectives.

- The review shall contain explicit budget information, including amounts and sources of all funds and expenditures, and whether the budget is adequate and appropriate to support the unit’s mission.

- The review shall take annual reports from the unit into account.

- Justification for continuation of a center must be documented carefully in the reviews.

- The effectiveness of the Director or Chair shall be reviewed at the same time and by the same committees by which the unit is being reviewed.

- If the unit is to be continued, the decision whether to continue the appointment of the Director is a separate decision to be made by the Chancellor. Directorships of all centers are limited to ten years of continuous tenure in all but extraordinary circumstances.

- Each stage of the review should consider and make specific recommendations on the following range of alternatives to the status quo: a change in funding; a change in other resources (such as FTE, space, Directorship, etc.); a change in the mission of the unit; a merger of the unit with one or more units on the same campus; or disestablishment of the unit.
FLOW CHART
ORU REVIEW

Annual reports submitted to Chancellor, EVC, Dean(s), VCR

5-Year Review
VCR Notifies Center/ORU Director, EVC and Dean(s)

Director and Advisory Committee provide reports on activities since establishment or last review

VCR Consults with Dean(s) on charge and membership of review committee

VCR Forms External Review Committee

VCR Receives Report from External Committee

VCR Provides Reports to Academic Senate and Deans

VCR Consults with Dean(s) and with Senate CP&B and other Committees

VCR Provides Reviews and Recommendations to EVC

CHANCELLOR'S DECISION