I. Purpose

Describes the official definition of various unit types within the SVM and the formal steps to be taken in the preparation, transmittal, review, and implementation of proposals for the establishment or revision of a unit within the School.

The purpose of defined non-departmental units within SVM is to foster research, teaching, and/or service that crosses boundaries among disciplines, departments, other schools or colleges, and that cannot readily be done within the administrative structure of a single department or other administrative unit.

The purpose of projects, programs, or groups within the SVM is the same as that of a defined non-departmental unit, but for a specific, shorter period.

Reference Exhibit A for an overview of unit types, their range and responsibilities.

II. Definitions

a. Appointment--an official action made by an official hiring authority and approved in accordance with SVM HR procedures.

b. Defined (non-Departmental) Unit (DU)--an SVM organization, approved by the Dean, established within the School to administer research, education, and/or service programs complementary to the goals of the School and/or campus. The programs are usually collaborative and multidisciplinary. A DU may have other academic functions ordinarily carried out by departments of instruction and research, e.g., it may sponsor research conferences and meetings, advise on graduate curricula, or provide support for graduate students and graduate programs, but a DU cannot have jurisdiction over courses or curricula and cannot offer formal courses for credit unless it has been specifically empowered to do so. Other criteria, such as designations or administrative arrangements, do not in themselves suffice to define a DU.

c. Disestablishment--dissolution of a unit.

1 Defined Unit (DU) is used herein purposefully similar to campus’ use of “Organized Research Unit” (ORU)--but with the recognition that ORU is a campus designation that may or may not apply within SVM.
d. Establishment—creation or transformation of a unit.

e. Multicampus Research Unit (MRU)—similar to an ORU as defined by main campus, but approved by The Regents. An MRU functions at the level of the Office of the President and coordinates research between two or among several campuses. Information on the establishment, administration, and review of an MRU may be obtained through the Office of Research.

f. Organized Research Unit (ORU)—designation for an academic agency, approved by the UC President, established within the campus, but not within the organizational structure of an individual school or college.

g. Reconstitution—any combination of actions treated as a unified plan and intended to transfer, consolidate, discontinue, disestablish (TCDD), change the name of, or establish a unit. Most often, one or more TCDD actions are central to the plan, which may include name changes or establishments as concomitant actions.

h. Research Project (RP)—a pilot project or precursor to an DU. An RP has characteristics similar to those of an DU, that is, it is interdisciplinary, normally collaborative, and cannot be accomplished within the confines of a single department. An RP must be educational and complementary to the goals of the School.

i. Unit—any existing or proposed organizational structure to which appointments are made.

The SVM designations of DUs shall be taken from the following definitions:

1. **Institute**—a major unit that coordinates and promotes faculty/student research and/or educational outreach on a continuing basis in areas that extend across departments, schools or colleges, and sometimes campuses. The unit may also engage in public service activities stemming from its research programs. Institutes are frequently the administrative home of multiple DUs.

2. **Laboratory/Clinic**—a nondepartmental organization that establishes and maintains clinical and/or diagnostic facilities for research, service, educational, or clinical responsibilities in a given discipline or in related disciplines.

3. **Center**—a nondepartmental organization, sometimes one of several forming an Institute, that establishes and/or furthers research, educational outreach, and/or service responsibilities of the School in a designated discipline or related disciplines; or a unit engaged primarily in providing research facilities for other units and departments. Houses multiple projects and programs with a similar focus.

4. **Station**—a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing ORUs and serving several campuses.

* VMTH clinical service groups fall outside this definition and are not Defined Units.
5. **Service**—a unit that provides a specific service to the School, University community or the general public.

RPs and other organizations that are not yet DUs may not use the above designations; their establishment permits use of **project, program, or group**. It is recognized that some long-established units have designations that do not conform to the definitions described in this document. Insofar as possible, designations of new units shall be taken from those defined herein.

### III. Policy

The process for the establishment, transfer, consolidation, disestablishment, or reconstitution of DU within the SVM is in accordance with the University’s system of shared governance and is consistent with the relevant Universitywide policy statements cited in this document.

1. **Proposal for Establishment of an DU**
   a. A proposal for a new DU shall be developed by the proposed head(s) of the DU, typically the person or persons running an RP. The group developing the proposal shall consult with interested parties and affected units, in advance, to gather input and recommendations. Consultations may include:
      1. Faculty in departments or other academic units whose membership and academic programs are involved or otherwise affected by the proposal.
      2. Academic Senate review committees for assistance meeting committee review requirements.
      3. The Department Chair(s), regarding potential support, need, fit, and overlap.
      4. The Dean, regarding potential support and to discuss a business plan to demonstrate financial and operational viability of the DU.
   b. Proposals for the development of a new DU shall contain the following:
      1. Justification of the DU in terms of School, campus and/or Universitywide academic needs and potential contribution of the DU to School goals.
      2. A description of the relationship of the proposed DU to the School.
      3. A statement of the DU’s objectives.
      4. An organization chart showing the delegation of authority and responsibilities for the proposed unit.
      5. A statement regarding possible administrative and/or programmatic overlap with other existing units.
      6. A five-year projection of revenues and costs establishing and maintaining the proposed unit, including the following information:

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· VMTH clinical service groups fall outside this definition and are not Defined Units.
a. A description of the physical facilities required.
b. An estimate of the academic non-Senate appointees and faculty required.
c. An estimate of nonacademic staff requirements.
d. An estimate of Information Technology requirements. This section should be prepared in consultation with SVM-IT.

2. Proposals for the transfer, consolidation, disestablishment, or reconstitution of academic unit shall contain the following:
   a. Justification of the proposed action including analysis of costs and benefits to the School and expected budgetary impact; a statement of the resulting unit's objectives; and a statement about expected changes in staffing and space requirements.
   b. A phase-out plan that includes an explicit description of the accommodations to students, faculty, staff, and non-academic appointees, as applicable.
   c. A complete statement of all steps required for adoption and implementation of the proposal and the timetable of target dates for completion of each step.

3. Proposals for the establishment or change in status of an DU shall be submitted to Academic Council (AC). Review of proposals will be performed and recommendations will be rendered to the Dean - by AC in a timely manner. The Dean will then either approve or deny the proposal. If denied, an explanation of why the proposal is being denied will be accompanied with an explanation of what steps the proposing party may make to achieve approval. Denied proposals may be edited and resubmitted to the AC.

IV. Administration of a DU
   1. Each DU shall be headed by a director who shall be a member of the faculty or staff of the SVM. Policy and procedures for appointment of directors of DUs are outlined in UCD Appendix II-C of the Academic Personnel Manual.

   2. The director shall be aided by a standing advisory committee, appointed by director. The committee shall meet at least annually and shall participate actively in setting the unit's goals and critically evaluating its effectiveness on a continuing basis. The advisory committee may consist of faculty members, administrators, staff and may have some members from outside the University. The charge to the committee and its functions, membership, and reporting requirements are determined by the director in consultation with the Dean.

   3. DU directors report operationally to the Dean or Executive Associate Dean, as appropriate.

   4. Each DU shall provide an annual report to the Dean that contains the information set forth in Exhibit B.

V. DU Program Review
   1. Each DU shall be reviewed at intervals of five years or less by an ad hoc review committee, appointed by the Dean. Review of a director of a DU takes place
separate from the review of the DU itself (see UCD Appendix II-C of the Academic Personnel Manual).

2. In reviewing a DU, the ad hoc committee shall review the unit's purpose, success in meeting that purpose, present functioning, future plans, and continuing development. In conducting its review, the ad hoc committee shall have available the five-year report of the director, comments of the DU advisory committee, annual reports of the unit, financial information, and such other information as is appropriate and/or requested. The ad hoc committee shall consider and make specific recommendations to the Dean on the following alternatives: continuation; change in funding; change in other resources; change in the mission; merger with other units; discontinuance; other matters deemed important by the ad hoc committee.

3. The ad hoc committee report shall be reviewed by the Dean and shared with Academic Council. Decisions concerning continuation of the unit and any needed changes shall be made by the Dean after consideration of the ad hoc committee recommendations. The director shall then be informed of the content of the report.

VI. References

1. Office of the President: Policy of The Regents of the University of California on Organized Research Units, 10/1/71; adopted by The Regents 9/17/71; revised by The Regents 11/19/93.
6. Academic Planning for the University of California, 5/10/72.
7. Policy on Transfer, Consolidation, Disestablisment, and Discontinuance of Academic Programs and Units, 9/19/79.
<table>
<thead>
<tr>
<th>Unit Name</th>
<th>Unit Head</th>
<th>Reports To</th>
<th>Responsibility</th>
<th>Range</th>
<th>Reporting/Requirements</th>
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<td>Regents</td>
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<td>Total</td>
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<td>Self</td>
<td>Multi Campus</td>
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<td>President</td>
<td>Self</td>
<td>Multi School/College</td>
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<tr>
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<td>Self</td>
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<td>Self</td>
<td>Multi Department</td>
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<td>Self</td>
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<td>As determined by Director/Chair; to be included in administrative home's reports to the Dean</td>
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Note: VMTH clinical service groups fall outside the definitions considered in this document and are not Defined Units.
Exhibit B: Mandatory DU Annual Report Information

At the end of the academic year, each DU director shall submit a report to the Dean that contains the information below.

1) Support funds, including income from sales and services:
   a) Source of funds
   b) Amounts (on an annual basis)

2) Expenditures:
   a) Funds for administrative support
   b) Funds for direct research
   c) Other

3) Financial statement for prior academic year and a one-year projection that includes income and expenditures detailed in items 1) and 2).

4) Number of graduate and postdoctoral students directly contributing to the DU program who:
   d) Are on DU payroll
   e) Participate through assistantships, fellowships, or traineeships or are otherwise involved in the DU’s program(s)

5) Number of faculty members actively engaged in the DU’s activities and/or its supervision

6) Extent of participation from other colleges, schools, and campuses of:
   f) Students
   g) Faculty

7) Number and FTE of employees in the following categories:
   h) Professional
   i) Technical
   j) Administrative
   k) Clerical

8) List of publications, including reports and reprints issued in DU covers, showing for each:
   l) Author
m) Title
n) Journal, volume, pages, date

9) Space:
   o) Description
   p) Total currently occupied
   q) Any anticipated needs

10) Other information:
   r) Updated five-year projections of plans and requirements, as applicable
   s) Any other pertinent information