

6 June 1975

^{who?}
A group of people from the Advisory Committee, Center for Music Experiment, has requested that the Advisory Committee address the following points at a regular meeting on Wednesday, June 11, 9:00 AM at CME.

1. To receive the written report of the Director, covering in detail program budget and other budgetary items related to the 1974-75 working year. A detailed time and motion study is expected as well as a break-down of expenditures along with all other pertinent information. A written summary report on the first term of the Rockefeller grant should also be included for review.
2. To review the advisory committee's present manner of considering appointments without, in the opinion of some members, prior and adequate review of research programs. To recommend that all research proposals be reviewed in detail and voted upon by the advisory committee before support appointments are reviewed and accepted by that same committee.
3. To recommend a formulation of a more realistic lead-time between the acceptance of research projects and the researcher's term of residence so that proper and equitable support can be prepared and maintained.
4. To consider the question of graduate student research and instruction in the Center. To recommend, if such research and instruction is accepted in principle, that individual projects must be reviewed and accepted by the advisory committee including seminars and/or courses. ^{and undergraduate}
5. To insist that all CME correspondence and documents relating to appointments, proposals, university relations, etc. be made available to advisory committee members on call or in some manner similar to the availability of relevant documents in the Department of Music.
6. To express concern that public events, concerts, preparation for off-campus appearances, concerts and tours, and recording sessions, etc. are increasing and increasingly occupy the time of Center personnel. To recommend that the original intent of such events be strictly adhered to and used only as demonstrations useful to research so that research priorities of faculty researchers are not inhibited.
7. To insist that all schedulings of CME events not conflict with the scheduling of departmental events and to propose that intended public events be reviewed and accepted by the advisory committee but sponsored and scheduled by the Department of Music.
8. To propose that there be made available increased avenues of communication between fellows and other support personnel of the Center, on the one hand, and the faculty membership of the Advisory Committee on the other. Although the assigning responsibility of the Directory is recognized as reasonable, it is evident that the present working atmosphere of the Center must be changed if faculty research and other participation in the Center is to be encouraged.

9. To recommend an immediate study of the CME administrative organization and its present procedures, such review to include the question of research restrictions on and perogatives of administrative personnel of the Center and its Director as well as the appropriate form and term of the directorate in the future.

10. To call into question present de facto priority relationships in the Center. Faculty research must retain first priority if the Center is to fulfill its expected purpose on this campus. The problem of faculty priority is seen as critical to the survival of the Center itself and, accordingly, must be carefully restructured to the staisfaction of the membership and the faculty of the music department.

ESTABLISHMENT OF ORGANIZED RESEARCH UNITS

I. REFERENCES

- A. Policy of the Regents of the University of California on Organized Research Units (Adopted 9/17/71).
- B. Administrative Policies and Procedures Concerning Organized Research Units, Office of the President, 10/1/71.

II. POLICY

A. Regents

1. Definition

An Organized Research Unit shall consist primarily of an interdepartmental group of faculty members and students engaged in research with them. The unit's activities may be supported by additional personnel and facilities.

2. Authority

Organized Research Units shall be established and disestablished as approved by The Regents, acting upon the recommendation of the President who shall seek the advice of Chancellors and the Academic Senate. The President shall report to The Regents all major reorganizations affecting Organized Research Units. No unit may be established until review as prescribed by the President has been completed, nor may a unit be continued without periodic review.

3. Administration

The chief academic officer of an Organized Research Unit shall be a tenure member of the faculty, unless some other arrangement is specifically authorized by the President. Directors of units serving a single campus are appointed by the Chancellor of the campus. Directors of University-wide units are appointed by The Regents, acting upon the recommendation of the President. Rules governing the establishment, approval, funding, operation, and review of the units; appointment and review of directors; personnel matters; and all other policies and procedures relating to Organized Research Units shall be issued by the President in consultation with the Chancellors and appropriate bodies of the Academic Senate.

4. Purpose

Organized Research Units may be established within the University to contribute to the general goals of the University and, in particular, to strengthen interdisciplinary programs of research and teaching conducted by the faculty, as well as to provide graduate and postdoctoral students with added research opportunities, facilities, and assistance. Facilitation of public services related to the University's research programs may be an associated objective of some Organized Research Units, particularly those whose activities include the pursuit of applied or problem-oriented research directed toward the solution of complex contemporary problems.

5. Scope

*How are other
dept involved?
How about grad from
Hist & Drama?*

An Organized Research Unit shall be interdisciplinary in scope, involving the faculty and students of two or more departments of instruction and research. An Organized Research Unit shall not be established if its research objectives are essentially the same as those of an existing department. Unnecessary duplication among campuses shall be discouraged. An Organized Research Unit is expected to provide opportunities for the participation of students in its activities. Each unit shall seek to make its facilities available to qualified staff members from other campuses; budgetary provision for intercampus travel will be made to the extent possible. Some units may be designated as University-wide Organized Research Units, either because their facilities are for joint use by several or all campuses or because facilities are located in several places on or adjacent to more than one campus.

6. Funding

The activities of an Organized Research Unit may be funded by budgetary allocations, or from extramural funds sought for the purpose, or both. The Regents appreciate the importance of extramurally funded research in graduate education and recognize the desirability of providing University support from State funds of at least part of the cost of administering research programs.

7. Faculty Participation

Organized Research Units shall receive no budgeted provisions for faculty positions and shall confer no professorial titles, but persons holding such titles by virtue of their appointment in an academic department may be compensated for the portion of their time

devoted to work in an Organized Research Unit by appointment to the appropriate title in the professional research series or to an appropriate academic-administrative title. Any exceptions to the foregoing rule must be specifically authorized by the President.

8. Exceptions

Certain Organized Research Units are, for historical reasons, exempt from some aspects of policies and procedures that apply to Organized Research Units generally. These units are enumerated in the President's Administrative Policies and Procedures Concerning Organized Research Units; the nature of the exemptions is set forth in separate documents to be developed for each unit.

B. Administrative

1. Definition and Purpose

An Organized Research Unit (ORU) is an academic agency within the University established for a purpose that is in accord with the policy of The Regents concerning such units. The purpose of an ORU is above all educational and complementary to the academic goals of departments of instruction and research. An ORU may not have jurisdiction over courses or curricula and cannot offer formal courses for credit unless it has been specifically empowered to do so by the President after consultation with the Academic Senate and the appropriate Chancellors; but even with campus approval, such an exception will be considered only when the course cannot be appropriately offered by a department of instruction and research. However, an ORU may perform other academic functions ordinarily carried on by departments of instruction and research in fields not served by ORU's, e.g., organize research conferences and meetings, advise on graduate curricula, help professors provide guidance for graduate students, and manage training programs; but educational programs intended for the public and for which fees are charged shall be administered through University Extension.

An organizational unit shall be recognized as an ORU when it has been approved as such by The Regents. A *List of Approved Organized Research Units in the University of California* is maintained and periodically issued by the President. Other criteria, such as designations or administrative arrangements, do not in themselves suffice to define an ORU; units ranging from special libraries, hospitals, clinics, art galleries, and museums to departmental laboratories are

not necessarily ORU's, although each of them may resemble an existing ORU in some respects. It is important to distinguish between formally established ORU's and research projects of a less formal character. In the solicitation of extramural funds for a research project that has not been proposed and reviewed for ORU status, care should be taken not to use terminology nor make representations which suggest that the project is in fact a University-approved ORU or is about to become one. The designations enumerated in the next paragraph and capitalized names such as Program and Group shall not be used as formal labels on research projects that are not ORU's. If a project is likely to evolve into an ORU after a trial period of operation, the possibility should be mentioned at a suitable stage in the planning; in such a case, the designation *Project* is suitable and will serve to initiate such academic and administrative review as may be deemed appropriate at any stage, e.g., on submission of a major proposal for extramural support.

2. Designation of ORU's

Units included in the *List of Approved Organized Research Units* normally carry one of the designations enumerated and defined below. *Institute*, *Laboratory*, and *Center* are used most often, but other titles may be employed in particular situations. An ORU that covers a broad research area may in turn contain other more specialized units; for instance, an Institute may comprise several Centers, or a Station several facilities. It is recognized that the designations of some long-established units may not always conform to the definitions that follow (some Centers are rather like Institutes in their activities) and that some have widely known names such as *Bureau*, *Division*, *Foundation*, or *Organization* that are not listed below but that cannot be conveniently changed. However, insofar as possible, designations of new units shall be taken from those defined below.

Institute: a major unit that coordinates and promotes faculty-student research on a continuing basis of an area so wide that it extends across department, school or college, and perhaps 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 nondepartmental organization that establishes and maintains facilities for research in several departments, sometimes with the help of a sizable full-time research staff appointed in accordance with the guidelines of Paragraph 4 below. (A laboratory in which substantially all participating faculty members are from the same academic department is a *departmental* laboratory and is not considered to be an ORU).

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

Station: a unit that provides physical facilities for interdepartmental research in a broad area (e.g., agriculture), sometimes housing other units and serving several campuses. Designations of units similar in function but of more narrow interests: *Facility, Observatory, Arboretum, Botanical Garden, Vivarium.*

Museum: a unit that preserves collections, sponsors research on them, and makes them available for public viewing. Designations of units similar in function: *Herbarium, Hall.*

3. Lines of Responsibility; University-wide ORU's

An ORU serving a single campus shall be administratively responsible to the Chancellor or, by his delegation, to an academic officer such as the Dean of a school or college or Graduate Division. University-wide ORU's shall be responsible to the President and report through a Chancellor to whom the President has delegated responsibility and authority to act for him in a University-wide capacity; however, the President retains ultimate responsibility for matters of general policy and intercampus coordination. For the Agricultural Experiment Station, the Water Resources Center, and the Kearney Foundation of Soil Science, the Vice President - Agricultural Sciences shall be the officer to whom the Director reports, and the Director shall insure that the Chancellors are kept informed of all impending substantial changes in these units and that effective administrative liaison with the Chancellors is maintained. University-wide ORU's fall into one of the following two categories.

University-wide Multicampus ORU. An ORU belongs to this category if it has facilities and personnel on two or more campuses or locations associated with them. The Director may be aided by an Associate Director on each campus or location on which the unit is active. The portion of such an ORU on a particular campus has some of the attributes of a single-campus ORU, and the chief administrator of that part of the ORU (i.e., the Director or Associate Director) is responsible to his Chancellor in such matters as personnel, services, and space. Each Associate Director is responsible to the Director for fulfillment of that portion of the University-wide ORU's mission which is carried by the branch on his campus. The policies and functioning of University-wide multicampus ORU's require careful coordination by the Director, who is responsible to the President through a Chancellor. Care and coordination are also required of the Associate Directors and the Chancellors of the other campuses on which the ORU has branches, for each Associate Director is responsible to his Chancellor in ways that cannot be entirely separated from his responsibility to the ORU as a whole.

University-wide Single-facility ORU. An ORU belongs to this category if it has facilities at a single location on or near one of the campuses and if participation of staff members from other campuses is so extensive as to give the unit a University-wide character. Such a unit is responsible for administrative purposes to the Chancellor of a designated "caretaker" campus.

4. Administration, Budgetary Support, Personnel

An ORU shall be headed by a Director (called Chairman in some Centers) who shall be a tenure member of the faculty and may receive an administrative stipend in addition to his salary, except that a faculty member who already earns such a stipend through another appointment (e.g., an 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 an ORU serving a single campus shall be

appointed by the Chancellor; that of a University-wide (both multicampus and single-facility) ORU, by the President after consultation with the appropriate Chancellors. The charge to the committee and its functions, membership, and reporting requirements are determined by the appointing officer.

In recognition of the role played by ORU's in the educational process, provision for the core administrative support of an ORU is normally made in the University budget in the form of the Director's stipend and part-time salary, and allocations for supplies and expense, equipment and facilities, and general assistance. The University 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 contain provisions for Professional Research (or Agronomist or Astronomer) positions of a more permanent nature than is ordinarily associated with a research project. 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. As a general guideline, appointees in the professional research series should not outnumber the faculty members in the group of those actively involved in the work of an ORU.

5. Exceptions

All exceptions to the above policies and procedures must be approved by the President. It is recognized that specified exceptions, embodied in separate documents, exist in the case of the Agricultural Experiment Station, the Institute of Geophysics and Planetary Physics, the Lick Observatory, the Lawrence Berkeley Laboratory, the Lawrence Livermore Laboratory, the Los Alamos Scientific Laboratory, the Laboratory of Nuclear Medicine and Radiation Biology, the Scripps Institution of Oceanography, and the Water Resources Center.

III. PROCEDURE

A. Establishing an ORU

1. To establish a new ORU, the faculty members concerned submit a proposal stating goals and objectives and explaining why they cannot be achieved within the

existing campus and University structure. The proposal shall contain 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. Actual or potential availability of extramural funds shall not serve as a basis for proposing, approving, or continuing an ORU. The proposal shall also contain:

- a. Names of faculty members who have agreed in writing to participate in the units activities.
 - b. Budget estimates for the first year of operation, projections for the 5 years following, and anticipated sources of funding.
 - c. Projections of numbers of faculty members and students, Professional Research appointees, and other personnel for the specified periods.
 - d. Statement about immediate space needs and realistic projections of future space needs.
 - e. Statement of other needs such as capital equipment and library resources.
 - f. Statement about anticipated effects of the proposed ORU on the teaching programs of the participating faculty members' departments.
2. Fourteen (14) copies of the proposal are submitted to the Dean* of the school or college most directly affected by the proposed unit's personnel, space, and equipment demands and is reviewed by him and forwarded to the Chancellor, who shall seek the advice of the divisional Academic Senate Committee on Budget and Interdepartmental Relations and of the Committee on Educational Policy, as well as any other advisory bodies that the Chancellor may wish to consult at his discretion on each campus, e.g., the divisional Graduate Council. All proposals are to be reviewed by the appropriate committee concerned with buildings and campus development. After completion of the campus review, the proposal is forwarded to the President by the Chancellor, or jointly by the appropriate Chancellors if more than one campus is involved. The President reviews the proposal and, if necessary, refers it to the Coordinating Council for Higher Education for comment. If the President approves the unit's establishment, he recommends it to The Regents.

*Dean, SIO
Dean, School of Medicine
Dean, Graduate Studies and Research (General Campus)

B. Appointing a Director

The Director or Chairman of a single-campus ORU 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 Chancellor reports the appointment to the President. For University-wide ORU's, the Director or Chairman is appointed by The Regents on the recommendation of the President after consultation with the appropriate Chancellors and with the advice of an *ad hoc* committee appointed by the President from a panel nominated by the University-wide Committee on Committees. When a unit reports to a Dean, his advice is also sought before an appointment is made. When the appointment of a new Director is for an existing unit, the Advisory Committee is also solicited for nominations. An Associate or Assistant Director is appointed by the Chancellor on whose campus the appointee will serve.

C. Five-Year Review

Each unit shall be reviewed at intervals of 5 years or less by a special review committee appointed from a slate nominated by the Academic Senate with regard to its original purpose, present functioning, 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, planned changes in program objectives, and planned steps to achieve new objectives. The ORU's Advisory Committee shall be formally asked to supply a report to the *ad hoc* committee. The Chancellor appoints the review committee for single-campus units; for University-wide units, the appointment is made by the President or his designee. The membership of the committee may be held confidential. The review report is usually held confidential, but a copy is given to the Director for his information. The report shall take annual reports described in Paragraph D into account and shall make a recommendation regarding the unit's continuance and suggest any needed changes. The report is reviewed by the appropriate Academic Senate Committee on Educational Policy (Divisional or University-wide, depending on the status of the ORU in question) and, together with its recommendation and that of the appropriate Chancellor (or Chancellors), is promptly forwarded to the President. If, in the President's judgment, circumstances warrant discontinuance of the ORU, the President

recommends such discontinuance to The Regents for final action, subject to the phaseout period provision in the next paragraph. In no case may an ORU be continued without written approval of the President.

The phase-out period for an ORU which is to be discontinued shall be sufficient to permit an orderly termination or transfer of contractual obligations and an effort to find alternate employment for full-time staff. 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 discontinue the unit.

The effectiveness of each Director or Chairman shall be likewise reviewed at intervals of 5 years or less, preferably 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 President for a University-wide unit and by the Chancellor for other units.

D. Reports

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

1. Numbers of graduate and postdoctoral students directly contributing to the ORU's work who (a) are on the ORU's payroll, (b) participate through assistantships, fellowships, or traineeships, or are otherwise involved in the ORU's work.
2. Number of faculty members actively engaged in the ORU's research or its supervision.
3. Extent of student and faculty participation from other campuses.
4. Numbers and FTE of professional, technical, administrative, and clerical personnel employed.
5. List of publications issued by the ORU, including reports and reprints issued in its own covers, and showing author, title, press run, and production costs.
6. Sources and amounts (on an annual basis) of support funds, including income from the sale of publications and from other services.

7. Expenditures, distinguishing use of funds for administrative support, matching funds, direct research, and other specified uses.
8. Description and amount of space currently occupied.
9. Any other information deemed relevant to the evaluation of a unit's effectiveness, including updated 5-year projections of plans and requirements where feasible.