

At its meeting of February 29, 1988, the Academic Senate approved the following Policy Recommendation presented by Sandra Kajiwara for the Instruction and Research Committee.

POLICIES AND PROCEDURES  
FOR ORGANIZED RESEARCH AND TRAINING UNITS  
AT SAN JOSE STATE UNIVERSITY

Preamble

Research is recognized as a vital part of the academic activities of a modern university. Research can involve the lone scholar, the collaborative effort of a team, or a large but coordinated group. Because of the diverse ways in which research and training may be carried on, organized research and training units established within the university are recognized as efficient means to fulfill the research and training functions. To facilitate the process and coordinate the effort, the following basic procedural and operational policies related to the organized research and training units have been developed.

Separate research and training units, with their own budgets and administrations, may be organized within the university when there is a clear indication that they will aid the research and/or enhance the teaching and public service of participating members of the faculty and that their activities will continue on a reasonably permanent basis.

a. The major purpose of organized research and training units is to facilitate communication, planning, and coordination of investigative efforts among faculty members and students attracted to a particular area of knowledge.

b. In carrying out their programs, organized research and training units may seek financial grants and provide funds, facilities, and advice for coordinated programs or for independent studies within their subject fields. Funds may be from contracts, grants, or gifts; but the value of the program to the campus--not the availability of funds--shall be the criterion for establishing or continuing an organized research and training unit.

c. A research and training unit may be organized and established under any of the following names that seem appropriate according to these definitions:

1. Institute. An institute is an agency established primarily for the coordination and promotion, on a continuing basis, of ascertained faculty research needs and interests organized around a broad subject area. Normally, the breadth of the subject will be reflected in research projects and programs which cut across department, school, college, or even campus boundaries. An

institute, however, may also be proposed when needed by a single department to coordinate broad and varied research activities. Public service activities and programs stemming from research conducted within an institute or from the professional interests of participating faculty may also be undertaken.

2. Center. A center is an agency, which may be established within an institute, to further research interests of the faculty in a designated major area.

3. Bureau. A bureau is an academic agency engaged primarily in public service activities including training and in facilitating research, in one or more academic departments, related to these activities.

4. Non-departmental Laboratory. A non-departmental laboratory is a research organization, headed by a director who is a faculty member, with a research staff which may include non-faculty personnel.

5. Station. A station is a unit equipped with facilities for research conducted by academic departments and divisions on one or more campuses.

6. Museum. A museum is an organization for the preservation and use of collections employed in research for the benefit of academic departments, and for the public. These latter functions are similar to those of non-departmental laboratories and stations.

d. The creation of an organized research and training unit should not be proposed without clear and strong evidence that long range needs and interests of the faculty and the university will be served thereby. Organized research and training units shall be established in the following way:

1. Two or more faculty members who are committed to serious and sustained research in the subject field that will be the focus of the unit shall propose its creation to the Associate Academic Vice President for Graduate Studies and Research, via the appropriate school dean. The proposal shall include the name of those initiating the proposal, a statement of the purpose of the unit, a table of organization, and the following additional information:

Methods of operation

Anticipated effects on the teaching and research program of department(s) to be affected (e.g., time away from class by participants, involvement of students)

Staffing (e.g., eligibility for participation by faculty, employment of students, need for administrative or secretarial personnel)

Financing

Housing

Need for furniture and equipment

Maintenance of physical facilities

2. When convinced that the proposal meets the standards established by these guidelines, the AAVP for Graduate Studies and Research shall consult with the chair(s) of department(s) most directly affected by the

proposal and with the dean(s) of the appropriate school(s), regarding the merits of the proposal.

3. The AAVP for Graduate Studies and Research shall then submit the proposal to the Research Committee of the Academic Senate.

The Research Committee shall consider the proposal and make recommendations to the Academic Vice President. A statement from the AAVP for Graduate Studies and Research will accompany the Committee's recommendations. The Academic Vice President shall review the proposal with accompanying recommendations and submit the materials with his/her evaluation to the President.

4. Final action on the proposal shall be taken by the President.

e. Each organized research unit shall be administered by a director, nominated by the members of the unit. The director shall be appointed by the dean of the school in which the unit is housed. Operating procedures, including the selection and retention of the director shall be developed by each unit. The name of the director and a copy of the operating procedures shall be submitted to the AAVP for Graduate Studies and Research.

f. Directors of established units shall submit copies of annual reports to the appropriate school dean(s) and the AAVP for Graduate Studies and Research.

g. At intervals of no more than five years, each independently operating unit shall be examined by the Research Committee of the Academic Senate. The purposes for which the unit was initially established and the emergence of further or changed aims shall be reviewed, and the committee shall submit a report to the AAVP for Graduate Studies and Research recommending (or not) the continuation of the unit. A copy of the report and the unit's response (if any) shall be submitted to the Instruction and Research Committee of the Academic Senate.

h. No organized research and training unit shall offer regular academic curricula or confer degrees, but it may provide training for students associated with its research program as part of that program. However, units may advise on curricular matters, and faculty members holding unit appointments may supervise the research of graduate students who seek academic credit for work within the unit.

Faculty titles shall not be conferred by organized research and training units nor shall academic tenure be acquired solely through service in such a unit. Non-faculty research positions within units shall be specifically authorized by the Academic Vice President on a case-by-case basis. Appointments to such positions shall be in accord with university research and personnel policies.

i. These policies and procedures are not applicable to the Moss Landing Marine Laboratories.

Policies and Procedures for Organized Research  
and Training Units at San Jose State University

j. Administration of finances, except for that support coming out of State budget, for all organized research and training units, will be by the San Jose State University Foundation in consolidated account name of the unit, or in several accounts depending upon the requirements of the donors and the unit. Each director shall be responsible for account(s). The unit account shall consist of funds derived from activities including conferences, publications, and donations. Funds from such activities normally will be divided with a percentage to the State (as provided by law), a fee or percentage based on cost to the State University Foundation, and a negotiable percentage to the school.

In no instance are research and training units to handle funds directly.

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Matters concerning publications, sales, patents and royalties handled in accordance with university policy.

By this policy, UP S68-4 is rescinded.

ACTION BY THE UNIVERSITY PRESIDENT:

*Approved and accepted as University Policy  
Effective immediately.*

*Gail Fullerton  
4/20/88*

NOTE THAT UP S68-4 IS RESCINDED