

Name of Policy: <u>Research-related centers and institutes</u> Policy Number: 3364-70-16 Approving Officer: President Responsible Agent: Vice President for Research Scope: Formation and review of research-related centers and institutes, all campuses		 Revision date: April 2, 2013 Original effective date: July 5, 2011	
<input type="checkbox"/>	New policy proposal	<input checked="" type="checkbox"/>	Minor/technical revision of existing policy
<input type="checkbox"/>	Major revision of existing policy	<input type="checkbox"/>	Reaffirmation of existing policy

(A) Policy statement and criteria

The University of Toledo supports and encourages the formation of research centers and institutes as a vehicle for faculty, students, and staff to promote an organized program of research activity; to advance interdisciplinary research; to foster multi-institutional, governmental and industrial collaborations; and/or to provide unique educational experiences for students and research fellows. The University reserves the designation of “research center” or “research institute” only for those entities that have received formal endorsement by the University Research Council and approval by the University President. No entity may operate as a research center or research institute at The University of Toledo without such approval. Other designations such as “laboratories,” “working groups,” or “projects” are not under the purview of the University Research Council. The major criteria for the formation (or continuation) of a research center or research institute are the following:

- (1) A purpose that supports the mission, goals, and objectives of the University as stated in its planning documents;
- (2) A program of activities that enhances the research and educational missions of the University;
- (3) Evidence that program activities are of high quality (such as publications, competitive grants, or other measures of external recognition);
- (4) Success (or potential for success) in attracting external support for its activities;
- (5) A designated budget including internal and external sources independent of the academic department allocation or any other internal resources;
- (6) A director or administrator;
- (7) The potential for self-sustaining funding; and
- (8) An advisory board with expertise relevant to the center or institute.

(B) Purpose of policy

To define the formation and continuing review of research centers and research institutes.

(C) Scope

This policy applies to all colleges, departments, sections, units or any other category within the University and to all individuals considering forming a research-related center or institute, as well as to current, established research-related centers and institutes.

(D) Formation

The formation of all research centers and institutes follows the process described below:

A full proposal addressing all of the criteria defined in Section (A) above is submitted to the Research Council. The Research Council will conduct its own evaluation of plans for research centers or research institutes.

The dean or higher administrator must submit a cover letter. This cover letter is independent of the proposal but submitted at the same time as the proposal. It must provide justification for the center and its alignment with existing centers, institutes, colleges and schools. It must also address administrative responsibility and commitment of university resources.

- (1) Formal proposals for the establishment of a research center or institute must address all criteria listed below:
 - (a) Suggested name of the center or institute;
 - (b) Purpose of research center or research institute;
 - (c) Summary of anticipated program of activities that relate to the mission, goals, and objectives of The University of Toledo;
 - (d) Name of the proposed director or administrator;
 - (e) A reporting line or organizational chart including affiliated faculty;
 - (f) Required resources (e.g., space, personnel, and facilities);
 - (g) Proposed board members with information on the role of the board and how board members will be selected; and
 - (h) Plan for obtaining support for the research center or research institute.
- (2) The evaluation process will include a formal presentation by the research center or research institute director to the Research Council.
- (3) The Research Council will recommend to the Vice President for Research that the research center or research institute either be approved or not approved. The Vice President for Research brings this recommendation to the President of the University for a final decision. Approval will be for a term not exceeding six years.

(E) Annual Reports

Each center or institute approved by the Research Council must submit an annual report by 15 July of each year to the Vice President for Research. This report will include a list of

publications and presentations made by center members; center activities; external awards; or any changes to resources, board members, or other personnel.

The Research Council will specify additional information to be included in this report.

(F) Review and Renewal Process

The Vice President for Research will maintain an inventory of research centers and research institutes and a schedule for center and institute review. The Vice President for Research will invite center and institute directors to submit a self-study document as the basis for the review. The Research Council will specify the information to be included in this document, which will be made available through the Vice President for Research. If the self-study document is not received in a timely manner, the University Research Council may recommend that the research center or research institute be terminated.

The University Research Council may select up to five persons to participate in the review of each research center or research institute or may refer the review to other appropriate bodies such as the Faculty Senate or Graduate Council. The University Research Council or review panel may also suggest that experts external to the university be included in the review. The review panel should meet with the center or institute director or administrator as well as others associated with the center or institute (faculty, appropriate dean, vice provost, or vice president). The review panel submits a draft report to the University Research Council, the center or institute director or administrator, and appropriate dean, vice provost or vice president. The review panel may revise its report prior to formal submission of the review document to the University Research Council. The final report should include a recommendation to expand center or institute activities, to continue activity at the same level, to modify the activity of the center or institute, or to terminate the center or institute. After review and discussion by the University Research Council, the council may recommend that the center or institute continue at its current level of activity or be expanded, that the center or institute's activity be modified, or that the center or institute be terminated. If the University Research Council determines that the center or institute is a non-research center or institute, it may be referred to another appropriate body. In addition, the University Research Council may recommend changes in the administrative structure or personnel. The Vice President for Research will bring the recommendation of the University Research Council to the President for formal action and approval.

<p>Approved by:</p> <p><i>/s/</i> Lloyd A. Jacobs, M.D. President</p> <p>April 2, 2013 _____ Date</p> <p><i>Review/Revision Completed by:</i> <i>Research Council, Vice President for Research</i></p>	<p>Policies Superseded by This Policy:</p> <ul style="list-style-type: none"> • <i>3364-70-16 Research Related Centers and Institutes, previous adoption date July 5, 2011</i> <p>Initial effective date: July 5, 2011 Review/Revision Date: April 2, 2013 Next review date: April 2, 2016</p>
--	--