

The IUPUI Faculty Council Research Affairs Committee met with VP Jose on April 19, 2011. This document summarizes our specific questions about the Research Centers and Institutes Policy (with recommended revisions and comments).

- The opening of the Policy Statement mandates four criteria. The RAC believes this infringes on the autonomy of individual schools and campuses. School and campus based centers have policies for establishing and evaluating centers. Although the criteria identified in the document are reasonable, the school or campus should adopt the criteria that are appropriate for their units. For example, it may not be necessary to require an external advisory board for every center.
- The entire policy includes redundant language and lacks clarity about types of centers. The definition of school, campus, and university centers should be clearly stated at the beginning of the policy, since the implementation of the policy and reporting lines differ according to the center status (i.e., school, campus, university). We recommend clearly delineating the difference among centers at the beginning of the policy.
- Furthermore, the RAC would like clarity on the purpose of the review by the Vice President for Research's Advisory Committee on Research Units and *the members who constitute this committee*.
- Some of the same problems are seen in the campus level section of the policy. Specifically, the policy states that campus research centers are the *responsibility of the Vice President for Research via the chief research office for each campus*. If the VPR is responsible, this violates the autonomy of the campus research environment. Furthermore, the policy does not define who the "chief research officer of the campus" is.
- Since research at IUPUI is interdisciplinary, will centers that involve 2 (or more) schools automatically become campus level centers? If a school initially establishes a center, is there a transition plan for multiple school involvement in campus centers. (NOTE: Very few, if any, schools provide core funding for centers, except for Signature Centers for which the funding is temporary).
- How does the IUPUI Signature Center Initiative fall under this policy? There are specific expectations for Signature Center review and this policy does not seem to allow for the flexibility to implement the procedures already in place on our campus.
- Some University Centers were established by action of the Board of Trustees. How does the policy on university centers apply to such centers? Will the Board of Trustees maintain a role in establishing centers?
- The policy would benefit from an implementation plan for "roll out" of the University Center reviews on a cyclic basis.
- Where will the funding to support the 3-5 year reviews of University Centers come from? The assumption is the OVPR would be responsible for the costs of conducting reviews. Most centers do not have a budget that supports paying for external reviewers, advisory boards, etc. The administration of the policy within the centers presents an undue burden on center directors and will detract from scholarly productivity.
- In the spirit of best practices, we believe that administrative reviews of Research Centers must include a written response from the appropriate administrator in a timely manner.

Policy in review period – please submit comments or questions to Faith Hawkins,
Chief of Staff, Office of the VP for Research: fhawkins@indiana.edu

Deadline:
April 22, 2011



INDIANA UNIVERSITY

Research Centers & Institutes

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Effective: Date
Last Updated: Date

Responsible University Office:
Office of the Vice President for Research

Responsible University Administrator
Vice President for Research

Policy Contact:
*Faith Kirkham Hawkins, Chief of Staff to the Vice President
for Research*

Scope

This policy applies to three types of centers: School Research Centers and Institutes, which are approved by and report to the dean of a specific school. Campus Research Centers and Institutes, which are approved by and report to the Office of the Vice Chancellor/Provost for Research of the specific campus, and University Research Centers and Institutes, which are approved by and report to the Vice President for Research. This policy applies to all campuses.

Comment [KS1]: Need to include types of centers to which policy applies here. Since uniform policies are not necessarily appropriate to all types of centers, this will involve defining types of centers. Based on the distinctions in Part A below and established practices, we propose the following.

Policy Statement

Research Centers and Institutes at Indiana University provide an important mechanism to facilitate the highest quality of inter- and multi-disciplinary research around themes that involve researchers from multiple units across disciplines, schools, and campuses. Typically, they are based on faculty's current research interest in addressing specific issues or problems, and would cease to function when their objectives are met or when there is no longer a research need or critical mass of faculty membership whose research interests addresses those issues.

As official units of Indiana University, Research Centers and Institutes must develop and utilize transparent processes of governance and review. Criteria for establishing, governing, and reviewing Centers and Institutes should reflect the high standards of academic excellence and best governance and business practices governing all Indiana University academic entities.

Specifically, all Research Centers and Institutes should include:

- a) an academic plan and mission statement;
- b) a financial plan addressing issues of immediate and long-term sustainability;

Comment [KS2]: In light of the extremely high cost in terms of dollars and hours required for review by an external advisory board and of periodic reviews and assessments, we recommend that
1) Not all school and campus centers require external review boards, and
2) After an initial probationary period of three years, subsequent reviews be required only every five years.

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- e) ~~an organizational structure that includes an external advisory board;~~
- d) ~~criteria for and plans to provide periodic reviews and assessments of the contributions of the center to the school and the university.~~

~~All Research Centers and Institutes will be evaluated and held accountable using the benchmarks specified in their academic and financial plans.~~

If a Research Center or Institute is meeting its objective of producing outstanding scholarly and creative work, the University has the responsibility to help its members to determine how it can best obtain the resources necessary to sustain its operation. No single funding model will encompass sustainability structures for all Centers and Institutes, but the University and its component parts should commit to crafting a financial business plan that will sustain important scholarly work. Conversely, faculty associated with Centers and Institutes must commit to producing outstanding research or creative work, and to making every effort to secure external funding, commensurate with expectations and with funding available in their fields.

A. Types of Research Centers and Institutes:

Research Centers and Institutes may be designated as University Centers and Institutes, Campus Centers and Institutes, or School Centers and Institutes. The affiliation of a School Center or Institute is determined by the predominant affiliation of its participating faculty members. Schools and campuses maintain autonomy to determine processes for establishing and reviewing school and campus research centers and institutes, within parameters designed to ensure the highest standards of academic excellence, best governance and best business practices.

I. School Research Centers and Institutes

Some Centers and Institutes draw entirely or primarily upon the faculty of one IU school. In such cases, the establishment, administration, sustainability and governance of these Centers and Institutes is the responsibility of the school, ~~but shall include:~~

- a) ~~an academic plan and mission statement;~~
- b) ~~a financial plan addressing issues of immediate and long-term sustainability;~~
- e) ~~an organizational structure that includes an external advisory board;~~
- d) ~~criteria and plans for periodic review and assessment of the contributions of the center to the school and the university~~

Applications for the establishment of school-based Centers and Institutes should demonstrate the necessity of forming such a center ~~at the present time~~, and ~~in particular~~, clarify that no existing school, campus, or university center is an appropriate locus ~~already~~ for the work proposed. Prior to approval from the Dean, applications for school-based research centers and institutes will be reviewed by the Vice President for Research's Advisory Committee on Research Units. Such review will ensure that the proposed center does not duplicate existing research units, and that the necessary academic plan, financial plan, organizational structure and periodic review plans are in place.

School Centers and Institutes report to the Dean of the sponsoring school or his/her delegates, ~~who will establish reporting requirements appropriate to the scope and activities of the center or institute;~~ each school Center or Institute shall produce an Annual Report of their activities and achievements to be reviewed by the Dean or his/her delegate.

II. Campus Research Centers and Institutes

The establishment, administration, and governance of Centers and Institutes that include faculty members from multiple schools on a campus are the responsibility of the Vice President-Chancellor for Research ~~via the chief research officer~~ for each campus.

Applications for the establishment of campus Research Centers and Institutes should demonstrate the necessity of forming such a center, and in particular, clarify that no existing school, campus, or university center is already an appropriate locus for the work proposed. Prior to approval from the

Comment [KS3]: Revisions were made below for consistency to this statement.

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appropriate chief research officer, applications for campus-based research centers and institutes will be reviewed by the Vice President for Research's Advisory Committee on Research Units. Such review will ensure that the proposed center does not duplicate existing research units, and that the necessary academic plan, financial plan, organizational structure and periodic review plans are in place.

Campus Research Centers and Institutes report to the Vice ~~Chancellor /Provost~~President of Research ~~via the chief research officer~~ for the campus

~~Each one must produce an annual report to be reviewed by the Vice President for Research and the chief campus research officer or his/her~~their assigned delegates who will establish reporting requirements appropriate to the scope and activities of the center or institute.

~~Campus Research Centers and Institutes shall include:~~

- ~~a) an academic plan and mission statement and justification of the need to form such entity;~~
- ~~b) a financial plan addressing issues of immediate and long-term sustainability;~~
- ~~c) an organizational structure that includes an external advisory board;~~
- ~~d) criteria and plans for periodic review and assessment of the contributions of the center to the school and the university~~

III. University

The establishment, administration, and governance of Centers and Institutes ~~that include faculty members from different campuses are~~ is the responsibility of the Vice President for Research. Applications for the establishment of University Research Centers and Institutes should demonstrate the necessity of forming such a center, and in particular, clarify that no existing school, campus, or university center is already an appropriate locus for the work proposed. University Research Centers and Institutes report to the Vice President for Research or his/her delegate.

University Research Centers and Institutes shall ~~have~~include:

- a) an academic plan and mission statement;
- b) a financial plan addressing issues of immediate and long-term sustainability;
- c) an organizational structure that includes a diverse external advisory board;
- d) criteria and plans for periodic review and assessment of the contributions of the center to the school and the university

Processes for establishing and reviewing University Research Centers or Institutes are delineated below.

B. Naming of~~A~~ Research Centers ~~and~~ Institutes

The name of a research center or institute should indicate the type of center it is, whether school, campus or university. As a unit of a particular school, a school research center or institute should include the name of that school, for instance, "SPEA Center for Environmental Impact Research" or "Center for Environmental Impact Research, School of Public and Environmental Affairs." A campus research center or institute, similarly, should include the name of the campus: "Center for Environmental Impact Research, Indiana University-Bloomington." Only University research centers and institutes can use the name of the university without further specificity: "Indiana University Center for Environmental Impact Research" or "Center for Environmental Impact Research, Indiana University."

Comment [a4]: Currently there are University Centers that include members from a single campus. This statement is inappropriate as it would disenfranchise such centers

Comment [a5]: It is unclear about the role of the Board of Trustees in establishing University Centers. This policy may not be consistent with current university BOT action

Comment [KS6]: This results in rather unwieldy names and compromises the ability of centers and institutes to establish an identity based on an acronym.

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C. Exceptions

In special circumstances, research centers and institutes may be established, reviewed, or closed through *ad hoc* processes. Exceptions to the processes outlined above may be granted only by the Indiana University President or the Vice President for Research; requests must include an explanation of the reason that an exception is required.

Comment [KS7]: It's not clear what would warrant an exception. Is there a need for this section?

D. Results of Review Process

In keeping with best practices, a formal, written response to all Center reviews by the appropriate administrator (i.e., Dean, Vice Chancellor/Provost for Research, or Vice President for Research) will be made available to the Center Director within 3 months to facilitate timely strategic planning and continuous process improvement.

ED. Application of Policy to Existent Research Centers and Institutes

The necessity for regular review of research centers and institutes applies to those units founded before the adoption of this policy. Such centers and institutes should work with the appropriate office (Dean, campus Vice Chancellor/Provost for Research~~Campus research official~~, or Vice President for Research~~PR~~) to develop a plan for review within one year of the date this policy is adopted, following the recommendations herein.

Reason for Policy

Consistent guidelines and procedures for establishing, reviewing, and closing research centers and institutes will help ensure that all such units maintain the highest academic standards and best business practices.

Procedures

Establishing School and Campus Research Centers & Institutes

Faculty members interested in forming a school- or campus-based research center or institute should confer with the Associate Dean, Vice Provost, or Vice Chancellor for Research in their unit for specific procedures and guidelines.

Establishing University Research Centers & Institutes

Indiana University Centers and Institutes must include a significant involvement of faculty from multiple campuses, disciplines and schools. Such centers will be established by application to the Vice President for Research. Applications will be reviewed by the VPR with advice from an *ad hoc* cognizant evaluating committee and/or the Research Advisory Council as appropriate. The VPR may approve the application without amendment, recommend changes in the name, scope, or other aspects of the proposed center, or reject or redirect the application to another unit (such as a campus or school).

Comment [KS8]: Is there a reason that this should not be done by the Research Affairs Committees of the University Faculty Council?

All applications shall include:

- Executive Summary of the scope and purpose of the proposed center
- Mission Statement
- Background, including existing efforts and faculty involved at Indiana University
- Comparison of value added compared to similar or related centers at Indiana University

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and at other institutions

- Description of proposed scholarly program, including brief CVs (3 ~~page~~ max) for primary participating faculty members

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- Description of proposed organizational structure, including leadership and nominees for external advisory board
- Potential for revenue generation (e.g., external grants, clinical/service income, private and corporate donations, etc.)
- Resources available/required (space, equipment, administrative support, cash)
- Requested Indiana University funds, if any
- Budget/Resource justification for years 1-3
- Strategic Plan/Project Timeline
- Goals and Benchmarks for progress
- Internal and external letters of support from informed individuals
- Statements of support from relevant department heads and deans

Applications will be reviewed with the following criteria in mind:

- Proposed University Centers or Institutes should involve faculty from at least two University campuses, and ideally, should involve faculty members from at least three disciplines;
- Proposed University Centers or Institutes should be organized around a research or scholarly theme of high intellectual timely importance with high potential benefit for research, creative work and education at the University;
- They should have a clear mission based on this scholarly and research theme;
- They should have as the proposed Director, a senior faculty member of academic standing, who has demonstrated administrative skills and the ability to raise external funding where that is appropriate;
- They should not reduplicate the foci or efforts of already existing Research Centers or Institutes.

Review of Indiana University Research Centers and Institutes

New University Centers and Institutes will be granted official status for a 3 to 5-year period. Each center will submit an annual report to the Vice President for Research, identifying activities and accomplishments, specific proposals submitted and grants awarded, and other evidence of meeting the benchmarks and objectives set up at the formation time of the Centers or Institutes.

After an initial 3-year probationary period, each University Center and Institute will be fully reviewed every 3 years by committees of three to five recognized experts in the areas in which the center or institute works. The majority of the members of the review committee and the chair of the committee should be external experts. The VPR is responsible for appointing such review committees. The VPR will review the committee report and, in consultation with academic leaders (such as the Executive Vice President and Provost, the Executive Vice President and Chancellor), determine whether the Center or Institute shall continue with University status for an additional 3 years. Continuing University funding after 3 years will be rare, but may be awarded to those centers which demonstrate their continued significant contribution to excellent scholarly work, and where appropriate, demonstrate significant growth in their external funding support.

Comment [KS9]: This implies that center X claiming that y is within its purview would preclude the establishment of a center Y to do y EVEN IF X has no activities related to y;

Comment [a10]: At what point would the Board of Trustees take action?

Comment [KS11]: Not clear how this would apply to centers created by the Board of Trustees. Perhaps this would be better expressed as: "It is the responsibility of the Vice President for Research to review the committee reports and, in consultation with academic leaders, identify centers that have outlived their usefulness or effectiveness, so that the Board of Trustees may take appropriate actions.

Comment [KS12]: This isn't about reviewing. Furthermore, since the process for award of funding hasn't been mentioned, it is irrelevant.

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Additional Contacts

Subject	Contact	Phone	Email
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Web Address for this Policy

<http://www.iu.edu/~vpr/centers.shtml>

Related Information

Occasionally, centers and institutes are named for someone. In addition to adhering to the naming policy herein, review the Institutional Naming Policy at <http://www.iu.edu/~vpurapp/policies/InstitutionalNamingPolicy.shtml>

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History

This is a new policy as of 2011. Where it conflicts with campus guidelines (for IU Bloomington at <http://research.iub.edu/centers/process.html> and for IUPUI at <http://research.iupui.edu/centers/application.html>), this policy supersedes them.