

 <p>Research & Sponsored Programs UNIVERSITY OF DENVER</p>	<p>Office of Research and Sponsored Programs Policy Manual</p> <p>Research Centers and Institutes</p>
	<p>Policy Number: ORSP-05</p>
<p>Recommended By: Sponsored Program Academic Research Council; Dean’s Council; Senior Vice Provost for Research and Graduate Education</p> <p>Approved By: Provost and Executive Vice Chancellor</p>	<p>Effective Date: 06/01/2023</p>

1. PURPOSE

To establish formal organizational structures to facilitate and advance co-operative research, scholarship and creative work consistent with our desire to embody the highest research impact. Formal organizational structures offer advantages to both the University and scholars. These structures have the potential to promote the University research, scholarship and creative work activities, enhance the University reputation and standing while improving the environment/infrastructure for supporting faculty. The principles and guidelines dealing with the form of the structures as well as their establishment, conduct, review and termination are necessary to promote and adhere to good and shared governance.

The objective of creating this policy is to improve the quality, the quantity and visibility of the University’s research and scholarly productivity and provide a stronger research and scholarship infrastructure for participating scholars. The policy is intended to:

- Enhance the standing of the University as a preeminent research institution.
- Outline criteria for establishment of a Research Center or Institute.
- Provide guidance on incentives and expectations for the conduct and management of Research Centers and Institutes.
- Establish review cycles and criteria.
- Articulate sunset processes.

The policy applies to all faculty, staff, students, and affiliates of the University engaged in research, scholarship, and creative work at or in collaboration with the University.

2. PRINCIPLES UNDERLYING POLICY

- 2.1. To meet its research, scholarship, and creative work goals the University has established formal organizational structures to facilitate collaborative and cooperative research.
- 2.2. Research Institutes and Research Centers may only be established within the context of this policy.

2.3. No other structure may be styled a Research Institute or Research Center of the University unless it has been established pursuant to this policy.

3. TYPES OF RESEARCH ENTITIES

Each research entity shall be classified as one of the following types. All formal entities shall be subject to review and evaluation every five (5) years. Use of the University logo and any other logo must comply with University brand guidelines.

3.1. Research Institute

3.1.1. A Research Institute is a formal research entity within the University structure to facilitate extensive cooperative research between a number of researchers and/or divisions, and formally recognizes the contribution, prominence and scale of its impact is measured by the following:

- 3.1.1.1. Volume of external supported annual research expenditures (indicating financial self-sufficiency), the institute will demonstrate at least \$1.5 million in annual grants or will trending rapidly to this value with a 3-to-5-year average from external grants and contracts.
- 3.1.1.2. National and/or international visibility and standing.
- 3.1.1.3. Number of staff, faculty and students supported.
- 3.1.1.4. Interdisciplinary research teams are encouraged though not a requirement.
- 3.1.1.5. Productivity of active research awards, publications, citations and media coverage.

3.1.2. While the Research Institute utilizes University resources, it is primarily responsible for its own research funding from external sources. The Research Institute is entitled to financial incentives to stabilize its administration, thereby acknowledging its contribution to the University's national and international standing, including the following:

- 3.1.2.1. Financial support for the Research Institute leader (partial salary, course buyout or other).
- 3.1.2.2. Return of twenty six percent (26%) instead of the traditional twenty one percent (21%) Facility and Administration costs. The additional five percent (5%) cost return will flow directly to the Research Institute to support innovation, growth or administrative costs, the traditional cost return is administered according to the unit practice.
- 3.1.2.3. Access to support from specialized IT Research Institute personnel.
- 3.1.2.4. Liaison support from Advancement to support fund development from private donors.
- 3.1.2.5. The Vice Provost for Research in consultation with the Dean, Provost, and the Senior Vice Chancellor for Business and Financial Affairs may designate an Institute with authority to provide their own budget, planning, human resources, procurement and contracting services.
- 3.1.2.6. Research Institutes will be included on the Research centers and institutes webpage and given priority coverage in news release coverage.

3.1.3. The Research Institute may be interdisciplinary or may be located within a single division in order to facilitate cooperative research within a School or a single discipline.

3.2. Research Center

3.2.1. A Research Center is a formal research entity within the University structure to facilitate cooperative research set up to support an individual research leader and his/her collaborators or a research team and formally recognizes the area of University's thought leadership. Leadership is measured by the following:

- 3.2.1.1. Volume of external supported annual research expenditures.
- 3.2.1.2. National and/or international partnerships.
- 3.2.1.3. Number of staff, faculty and students supported.
- 3.2.1.4. Productivity of active research awards, publications, citations and media coverage.

3.2.2. A Research Center forms a unit of the School or College to which the Research Centers leaders belong but may be cross-disciplinary and cross-divisional. While the Research Center utilizes University resources it is primarily responsible for its own research funding from external sources.

3.2.3. Leadership of Research Centers would be eligible for 0 FTE administrative stipends that could be paid for by grants given that the administrative oversight is determined to be significant.

3.3. Research Lab/Group/Unit

A Research Lab/Group/Unit is a research entity within the University and:

- 3.3.1. Is an informal research entity set up by a research group to support an individual research leader and their collaborators.
- 3.3.2. Is housed within a department or School to which it the research leader belongs.
- 3.3.3. Its research activities will be supported from funds brought in by the research leader or collaborators.
- 3.3.4. Its existence will be tied to the tenure of the research leader at the University, and it will cease to exist on his/her resignation or retirement (unless continued by an honorary appointment)
- 3.3.5. It does not require approval or review under this policy but is subject to review as appropriate by the home Department and must adhere to the name conventions.

4. **NAMING THE ENTITY**

4.1. The name of the Research Institute will take one of the following forms:

- 4.1.1. University of Denver [Name] Research Institute
- 4.1.2. [Name] Research Institute at the University of Denver
- 4.1.3. Any other title with the sub-title: A Research Institute affiliated with the University of Denver.

4.2. The name of the Research Center will take one of the following forms but also may be required to identify with the primary academic division:

- 4.2.1. University of Denver [Name] Research Center
- 4.2.2. [Name] Research Institute at the University of Denver
- 4.2.3. Any other title with the sub-title: A Research Center affiliated with the University of Denver

4.3. The name of the Research Lab/Group/Unit will take one of the following forms but also may be

required to identify with the primary academic division:

4.3.1. [Name] Research Lab/Group/Unit at the University of Denver

4.3.2. University of Denver [Department Name] [Lab/Group/Unit Name] Research Lab

5. LINES OF RESPONSIBILITY

5.1. Research Institutes

5.1.1. Research Institutes report to a Dean at a designated School or College or in rare circumstances the Office of the Provost.

5.1.2. The Institute will be headed by a Director or leader who will normally have an academic appointment within an academic unit

5.1.3. The Research Institute has a continuity of existence beyond the tenure of service of the individuals assigned to it but will be subject to regular review every five (5) years.

5.2. Research Centers

5.2.1. Research Centers operate as a unit of a School or College, reporting to a Dean at a designated School or College.

5.2.2. The Research Center will be led by a Director with an academic appointment within an academic unit in the primary School or College.

5.2.3. The Research Center should have a continuity of existence beyond the tenure of service of the individuals leading it and will be subject to regular review every five (5) years.

5.3. Research Labs/Groups/Units

5.3.1. Operates as a unit of a Department within a School or College, reporting to a Department Chair/ Director.

5.3.2. The Research Labs/Groups/Unit will be led by faculty with an academic appointment in the same department.

5.3.3. The Research Labs/Group/Unit will have a continuity of existence consistent with the tenure of service of the individual leading it.

6. ESTABLISHMENT OF NEW RESEARCH ENTITIES

6.1. The prospective leader of the proposed Research Institute or Center will prepare a research strategy application addressed to the Vice Provost for Research (Vice Provost). The research strategy shall include the following:

6.1.1. Statement of objectives, goals and expected outcomes.

6.1.2. Clear statement of reporting lines.

6.1.3. Letter of support from the relevant Department Chair/ Directors and Deans which must include their evaluation of the following:

6.1.3.1. The potential for contribution to research and development.

6.1.3.2. Impact on school/university reputation.

6.1.3.3. Research track records of the principal investigators.

6.1.3.4. Alignment of the goals with the vision and mission of the university will be reviewed.

6.1.3.5. Support for reporting structure.

6.1.4. The name and two (2) page resume of the proposed leadership and each member of the research team with a statement of their agreement to participate.

6.1.5. Bylaws

6.2. Applications will be reviewed by the Vice Provost for Research and the Sponsored Program

Academic Research Council (SPARC) for review and recommendation. The Vice Provost for Research will forward for approval the proposed Research Institute or Center to the Provost upon favorable recommendations from SPARC.

- 6.3. Prior to approval the leadership team of the proposed Research Center or Institute may be invited to give a public campus overview of their proposed Research Center or Institute to create visibility and answer questions.
- 6.4. Research Centers with the proper support of the relevant Dean and applications that include all criteria described above will be approved by SPARC.
- 6.5. Should SPARC reject the same application three times the applicant becomes ineligible for future application.
- 6.6. When Research Institutes are established, the extent and type of centralized support will be approved by the Vice Provost and documented in a memo signed by the Provost.
- 6.7. Research Institutes and Centers existing before May 1, 2023, will have two (2) years from the effective date of this policy to apply for approval as outlined herein. If unsuccessful, the Research Institutes and Centers will be placed on a probationary term of twenty four (24) months to reapply before University action will be taken.

7. REVIEW OF RESEARCH CENTERS AND INSTITUTES

- 7.1. Research Centers and Institutes will be reviewed every five (5) years by the designated School or College. If the School or College fails to conduct a review or the review is delayed beyond five (5) years, then SPARC will conduct the review.
- 7.2. Research Centers and Institutes undergoing review will submit the following materials to the appropriate reviewer:
 - 7.2.1. Statement of next five (5) years proposed objectives, goals and expected outcomes as well as the outcomes of the last five years (5) objectives and goals.
 - 7.2.2. Productivity data for last five (5) years, to include: grants/contracts, awards, media highlights, publications, citation record, other relevant data such as letters of support from community partners.
 - 7.2.3. Letter of support from the relevant department Chair/Director and Dean, which must include their evaluation of:
 - 7.2.3.1. Contribution to research and development.
 - 7.2.3.2. Impact on school/university reputation, outcomes of the principal investigator team over the last 5 years.
 - 7.2.3.3. The name and two (2) page resume of the leadership of the Research Center or Institute and each member of the research team with a statement of their agreement to continue to participate.
- 7.3. Research Institute and Center Review
 - 7.3.1. Research Institutes will be reviewed by the SPARC. The SPARC will make a recommendation to the Provost on the outcome of the evaluation. Institutional supports may be adjusted though the course of the evaluation and such adjustments will be documented in a memorandum signed by the Provost.

7.3.2. Research Centers will be reviewed by the designated School or College who will forward the outcome of the evaluation to SPARC, who will make a recommendation to the Provost on the outcome of the evaluation.

7.4. If the outcome of an evaluation of Research entity is unfavorable the Research entity may be downgraded or in rare circumstances provided a probationary period not exceeding 24 months to reestablish productivity outcomes consistent with that designation. A Research Institute is downgraded to a Research Center. A Research Center is downgraded to a Research Lab/Group/Unit. A Research Lab/Group/Unit may be recommended for dissolution.

7.5. Depending on the faculty line and contract, the leader of a Research Entity that is the subject of the downgraded may need to renegotiate their work responsibilities with their Dean Department Chair/ Director.

8. REPORTING REQUIREMENTS

All Research Institutes and Centers will provide a brief annual report to the Vice Provost for Research no later than August 1 of each year for inclusion in the University Research and Scholarship Annual Report. This must include all new research discoveries, honors or achievements and a comprehensive list of publications, grants and students supervised. This reporting is in addition to participation in annual financial compliance and reports. All Research entities are still subject to normal University financial controls and governance policies.