



RESEARCH CENTERS AND INSTITUTES APPROVAL AND EVALUATION PROCEDURES

No: SAAP 14-4

Authority: UWM Administration & SAAP 1-6

Initiator: Provost

Date: February 2022
September 2016 (original)

Responsible Party: Vice Provost for Research

I. Introduction

Research centers and institutes provide infrastructure to support scholarship at the frontiers of knowledge, in the sharing of knowledge, and in the application of knowledge to practice. These units are an addition to the traditional administrative and academic structures on campus. The establishment and review of centers and institutes must consider their relation to existing structures, how they are resourced and administered, and their impact within their discipline and the community they serve. This document establishes processes to ensure their relevance and value in supporting the mission of the university.

This document complements SAAP 1-6 (Centers/Institutes) by establishing the procedures for approving and reviewing research centers and institutes at UWM. The steps outlined in this document articulate clear guidelines and processes for establishing new research centers and institutes, and reviewing existing and new research centers and institutes.

The ultimate goals for implementation of these procedures are to:

- provide guidance and clarity in the establishment of research centers and institutes;
- create a system for evaluation and feedback for research centers and institutes that informs decision-making to enhance their effectiveness;
- determine efficient use of campus resources contributed to research centers and institutes;
- foster communication regarding research centers and institutes as a valuable campus resource.

II. Definitions

The definitions of *Research Center* and *Research Institute* are set forth in SAAP 1-6.

III. Establishing a New UWM Research Center / Institute

Proposals to establish a new research center or institute should be submitted to the Provost, with transmission through the office of the appropriate Dean¹, Principal Dean, or Vice-Provost for

¹ The term “Dean” denotes the campus administrator with line responsibility for the research center/institute Director. For units within a single school/college this will be the academic dean. For units in multiple

Research. Proposals must contain the required elements set forth in SAAP 1-6. Establishment of a center or institute through external funding or partnerships does not automatically confer UWM center or institute status. To become a UWM center or institute, the process described herein must be followed. See Appendix A for organizational models. See Appendix B for a description of essential resources.

Academic Affairs will circulate submitted proposals to schools/colleges, the University Committee, the Academic Planning and Budget Committee for review and comments (per SAAP 1-1).

The Provost and Chancellor will review proposals following the review and comment period, and make the final decisions regarding proposals. The Chancellor's decision will be communicated to the proposing group, the appropriate Dean/Vice Chancellor, and the Faculty Senate.

IV. Center and Institute Reporting Requirements

Each research center/institute must submit an annual report (defined by the fiscal year) to the dean responsible for the unit, and undergo a required comprehensive review every six years to assess viability of its program, activities, and resources. The goal of the annual report is to inform the dean and the rest of campus about the research goals and progress of the center or institute. The six-year review provides the opportunity to align the resources with the strategic goals of the center/institute. Shorter review cycles may be established at the request of the center/institute.

Research centers within a research institute are subject to the same review requirements as independent centers.

Annual Reports

The annual report is designed for yearly evaluation of the research center/institute, for systematic collection of information needed for the six-year comprehensive review process, and to respond to any issues resulting from the previous six-year review. (See Appendix C for required content.) Centers/institutes that are required to provide annual reports to external agencies or sponsors may submit those reports in fulfillment of this requirement, as long as they contain the required content.

- The Dean (Dean, PD, or VPR as appropriate) solicits the report from the director and evaluates research center/institute progress annually.
- The center/institute annual report submission comes after campus annual reporting of academic activities to allow ready incorporation of information from the individual reports of faculty and academic staff members affiliated with the research center/institute. The design (layout; format; style) of the report should be flexible. Each Dean forwards copies of the annual reports to the Provost and the Vice-Provost for Research.

schools/colleges this will be the Principal Dean (PD) or Vice Provost for Research (VPR). These roles are defined in the center/institute organization chart (see Appendix A for model organizational structures).

Six-year Reviews

In addition to submitting annual reports, each research institute and center will undergo a comprehensive review every six years. Shorter review cycles may be established at the request of the center/institute.

The review schedule of campus research centers and institutes will be developed around themes, whenever possible. For units with major extramural funding that depends on institutional matching, the review process will be initiated one year before a research center/institute renewal proposal is due and completed within six months to provide formative feedback for renewal proposal preparation and to guide the institutional commitments to the grant. Units that are supported by an external stakeholder that requires a review of the research center/institute may use the external review to satisfy the campus review requirement with the approval of the Vice Provost for Research.

The purpose of the research center/institute review is to assess the unit's viability, quality, and progress. The review also facilitates strategic planning. A Dean, Vice Provost for Research, or Provost may request an early comprehensive review of a research center or institute.

See Appendix C for self-study instructions, Appendix D for instructions to reviewers, and Appendix E for the review process.

Appendix A

Examples of Basic Elements and Organizational Structures for Research Centers and Institutes

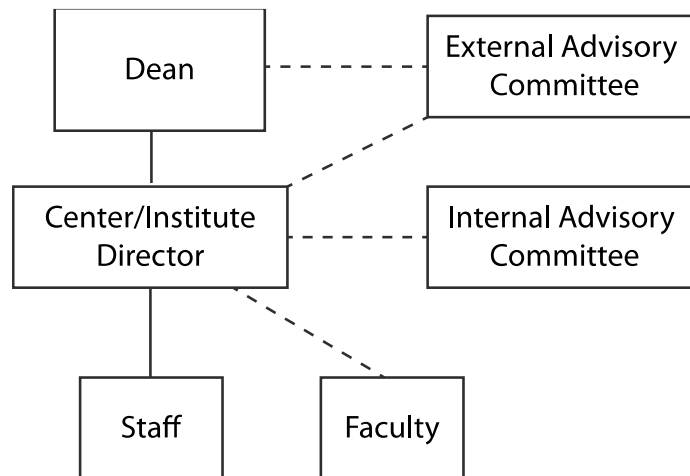
The most suitable organizational model for a specific research center or institute depends on the size of the unit and its location within the university. Research centers/institutes located within one department, school or college will report to the appropriate dean. Research centers/institutes that cross-cut schools and colleges report to either a Principle Dean or the Vice Provost for Research. This section presents some examples of typical organizational structures and their components as they might be implemented at UWM. Each UWM center or institute will develop its own structure as appropriate for meeting its needs.

1. Examples of Organizational Structures

Research centers and institutes generally include both an internal group (Internal Advisory Committee) that works with the Director on a regular basis, and an external group (External Advisory Committee) that provides advice from both a broader segment of campus and external stakeholders and experts. Research centers and institutes supported by external center awards usually include an External Advisory Board that evaluates the unit as part of the grant activity. That type of board is not included in the following examples for the sake of simplicity.

Single College Center/Institute

In the case where a center/institute is contained within a single college or department, the Director reports to the relevant dean, as shown in the example below.



Multi-College Center/Institute – Principal Dean Model

This example applies to research centers and institutes with activities largely centered in a single college, but with essential collaborations with and contributions from other colleges and units. Generally the Principle Dean will be the Dean of the college in which the activities of the research center/institute are largely contained. In this structure, the External Advisory Committee should include deans from other participating schools and colleges or their designees.

Multi-College Research Center/Institute – Vice Provost for Research Model

This example applies to research centers/institutes with activities distributed over several colleges, or focused on the use of a particular facility with users from multiple colleges and schools. The organization is similar to that of a multi-college research center/institute except that the Vice Provost for Research replaces the Principle Dean, to ensure a broad perspective regarding campus interests.

Other structures

Other organizational structures may be appropriate for research centers or institutes that cross campus boundaries and involve collaboration with other UW campuses, external institutions or agencies. Although the same general principles should be applied in these cases, examples are not presented due to the complex nature of such entities.

2. Appointment of Research Center and Institute Directors

Center Director

The Dean will determine the appropriate means of appointing a Research Center Director. The Dean may name an interim Director as part of the research center approval process. The terms and conditions of appointment require approval of the Dean.

Institute Director

The Provost will determine the appropriate means of appointing the Institute Director. The Provost may name an interim director as part of the research institute approval process. The terms and conditions of appointment require approval of the Provost.

3. Research Center and Institute personnel and components

Director: The executive officer responsible for the intellectual and administrative leadership of the research center/institute.

- Appointed by the Dean (or, in the case of research institutes, by the Provost) in consultation with the Internal Advisory Committee.
- Reports to the Dean.
- Responsible for management and operations of the research center/institute, including budget, strategic planning, programs, personnel, and facilities; manages the resources of the research center/institute.
- Recommends individual and joint appointments to the research center/institute, in consultation with the management of relevant units.
- Required, together with the Dean, to provide regular reports of the research center/institute's activities to the VPR and any advisory committees.
- Responsible for reports required by external agencies or sponsors.

Dean: The Dean has supervisory responsibility for the research center or institute and its activities. If a research center or institute cross-cuts multiple schools/colleges, the Principal Dean (PD) or Vice Provost for Research (VPR) serves as the supervisory dean.

- Appoints research center/institute Director in consultation with Internal Advisory Committee and the Provost.
- Acts in the interest of all the units participating in center/institute activities
- Conveys relevant campus-wide issues to the Director
- Periodically provides progress reports and reviews to the External Advisory Committee and to the Provost.

Internal Advisory Committee: The Internal Advisory Committee advises and supports the Director in efficient and effective management of the research center/institute.

- Required for research centers and institutes, unless otherwise approved by the Dean.
- Committee members are appointed by the Director in consultation with the appropriate Deans, should primarily be selected from participating faculty and staff and should represent the programmatic and operational divisions within the research center/institute.
- Chaired by the research center/institute Director.
- Responsible for reviewing all major policy, fiscal, operational and other matters.
- Approves research center/institute membership for researchers not affiliated with the charter unit(s).

External Advisory Committee: The External Advisory Committee is responsible for the advising the Dean and the Director on the overall strategic direction, management, and policies of the research center/institute. An External Advisory Committee is required for research centers and institutes that span multiple schools and/or colleges, unless otherwise approved by the Provost.

- Membership is determined by the Provost in consultation with the Dean and Director. It may include UWM members, such as non-principal deans, and members external to UWM such as other industrial or academic research partners.
- Chaired by the Dean or his/her designee
- Periodically reviews the research center/institute planning and advises the Dean and Provost.
- Periodically reviews the financing and development of the research center/institute and ensures that the interests of all participating units are fairly represented.
- Reviews research center/institute Director performance prior to possible reappointment.
- Advises on the composition and charge of the External Advisory Committee.

Other Advisory Committees and Boards

- May be constituted as deemed necessary by the Director or as required by external agencies or sponsors.
- Formed in consultation with the Principal Dean and the Internal Advisory Committee.

Appendix B

Essential Resource Needs

Resources needed for research centers and institutes typically fall into three major categories: staff, funding and space. A research center/institute proposal should address these needs in sufficient detail to demonstrate how the unit will be sustained over time.

1. Research center/institute staff

Research centers and institutes may include budgeted positions for full- or part-time faculty and staff members in research, administrative, or support roles. The Dean must approve all employment contracts and funding proposals that involve faculty or staff transferred into or hired by a research center or institute.

Faculty and staff paid through other units also may be associated with a research center or institute as part of their research activities. They may be named and listed as part of the organization's operational research team. Faculty members whose appointments are outside of the center or institute require permission from the appropriate dean to accept an administrative role that impacts their other existing commitments. Supervision of personnel on a research project or designation as a "research section leader" does not constitute an administrative role within the context of this document.

2. Funding

Funding for research centers and institutes generally come from four sources: base budget, direct grant/contract support, gifts, and allocations from indirect costs. Each source should be clearly identified in the budget.

Indirect cost allocations will be in accordance with UWM policy unless specifically agreed in writing. Deans have authority to allocate that portion of ICs allocated to a School/College or Department. Where multiple Deans are involved, a sign-off is required by all Deans, not only the Principal Dean. PIs may allocate their proportion of ICs as they see fit within normal operational guidelines. The Vice-Provost for Research and/or the Provost must approve transfer of any ICs allocated to the University administration.

3. Space

Proposals should indicate the initial space assigned to the research center or institute.

Appendix C
Six-year Comprehensive Review, and Annual Report
Research Center and Institute Self-Study Report Instructions

The Self-Study Report for a six-year review should be organized using the outline below. The **annual reports** should be organized to collect information needed for sections 3, 4, 5 and 7. These sections can be customized for individual research centers/institutes, with approval from the Dean (or Primary Dean, Vice Provost for Research when appropriate).

1. Center/Institute History and Goals

- Provide a concise statement of the research center/institute's purpose. Include publicly stated vision and mission and comment how they relate to UWM's vision and mission.
- Provide a brief history of the center/institute.
- Describe the specific goals the center/institute expects to accomplish and how success is measured in relation to goals (e.g., research expenditures, scholarly output, honorific awards, outreach services).

2. Organizational Structure and Membership

- Describe the organizational structure of the unit (e.g., leadership structure, reporting structure, location).
- Provide a list of participants in the research center/institute during the six-year review period.

3. Key Accomplishments

- Provide a bulleted synopsis of the most important accomplishments of the center/institute during the six-year period (e.g., grants and other sponsored projects received, significant partnerships, workshops and conferences organized, honorific awards).

4. Assessment of Center Activity and Finances

- Assess the activities of the center during the previous six years in relation to the goals
- Assess and explain any trends in the financial outlook for the research center/institute during the previous six years.
- Comment on strengths and weaknesses of the center/institute.
- Describe how the center/institute helps researchers become more competitive for external funding

5. Facilities

- Describe the physical resources of the facility

6. Marketing/Publicity/Member Recruitment

- Describe how the activities and services of the center/institute are made known internally and externally
- Comment on the main attractors and benefits that draw the active researchers to associate with the center.
- Comment on the main detractors and obstacles to active member involvement.

7. Future Strategic Plans (second last section)

- Describe and discuss the major strategic goals and planned activities for the next six years.
- Provide a bulleted list of issues/challenges affecting the research center/institute's ability to achieve its objectives in the coming years and suggest possible solutions.
- Describe the process of assessing user satisfaction with the services or facilities provided, and how those responses are incorporated into the planning process.

8. Other (last section)

- Provide information not requested elsewhere that you feel is relevant for campus administrators and/or external reviewers.

Add as relevant following section 6 and renumber subsequent sections

Core Facilities

- Describe the user demand for your facilities, and your ability to meet that demand
- Describe the process for allocating resources to users
- Describe the availability of training on facility/equipment use

Connection to Academic Programs

- Describe the unit's involvement in undergraduate or graduate education, and relationship of teaching and research within the mission of the unit.
- Discuss potential opportunities for involvement of other academic programs with the unit.

Community Outreach

- Describe community outreach activities (e.g. workshops, training).

Connection to Industry

- Discuss the role and performance of the unit in relation to its relevant Industries.

Direct Support of Research Projects

- If the center/institute provides direct support for projects, describe the solicitation and selection process, and list projects that received direct support during the past six years.

Supporting documents: To be completed by all centers/institutes
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Attachment 1 - Listing of Scholarly Output for Activities Conducted through the Research Center/Institute

- Provide a list of all peer-reviewed publications by year.
- Provide a list of presentations at national and international meetings (denote invited talks).
- Provide a list of other publications and creative works.
- Provide a list of honors received by faculty, staff, and students associated with the center/institute.

- Provide a list of graduate degree recipients whose theses and dissertations were enabled by the center/institute.

Attachment 2 - External Proposal Activity

- Provide a list of external funding proposals submitted through the research center/institute (or that were within the scope of the center/institute) during the last six-years. Include lead PI Name, funding agency, grant name, proposal title, budget request, and award outcome (funded/not funded). If funded, add award amount and duration of funding.

Attachment 3 – Financial Reports (based on UWM fiscal year cycle; use Excel template provided)

- Funding and Expenditures: Enter funding from all sources by fund code/type, e.g. State General Purpose Revenue (101), F&A (150), General Operations Receipts (136), Gifts (233), Federal grants and contracts (144), Non-federal grants and contracts (133). Do the same for expenditures. Add rows as needed for other fund codes. Provide narrative for financial reports in Section 4 above.
- Operating Costs: Provide detail on non-grant-related operating costs (e.g. salaries, maintenance fees, travel, S&E). Add rows as needed. Provide narrative for financial reports in Section 4 above.

Attachment 4 – Charter Document

- Attach charter documents (if any) that were submitted for approval in establishing the center/institute.

Appendix D

Instructions for Reviewers of Research Centers and Institutes

The review committee is responsible for conducting an assessment of a research center or institute across multiple dimensions. The primary objective is to assess the unit's viability, quality and progress. Some of the critical aspects may include (but not limited to):

- To review the scope, focus and balance of the research center/institute's activities in light of trends in the fields and performance of comparable research centers/institutes elsewhere.
- To consider the resources available to the research center/institute for implementation of current programs and proposed developments; the efficiency and effectiveness of the research center/institute's use of those resources; the center/institute's accommodations and facilities and whether its allocation of funds is appropriate to fulfill its mission; and the potential for the research center/institute to attract additional external resources.
- To review the organizational structure of the research center/institute in the context of its research and other functions and to consider whether the internal administration, support structure and staffing arrangements will adequately serve the research center/institute and the University in the future.
- To evaluate the research performance of the research center/institute, including its success in attracting external funding, the extent and impact of its publications, its success in attracting graduate students and overseas researchers and visitors.
- If appropriate, to review the quality and the extent of the research center/institute's involvement in teaching at undergraduate and graduate levels and consider the present and future relationships of teaching and research programs within the research center/institute and among other research centers/institutes and schools/colleges within the University.
- If appropriate, to review the role and the performance of the research center/institute in relation to its relevant industries.
- If appropriate, to review the impact of the research center/institute within the broader community and in internal and external service to the profession and the community.
- To recommend, in light of this performance evaluation, whether the research center/institute should continue.
- To recommend additional resources needed to move the research center/institute forward and explain the expected outcomes of those investments.

In addition, reviews of research centers/institutes **with a core research facility** will need to evaluate the effectiveness of the facility, based on the standard of a productive and satisfied user community:

- Quality and quantity of the research performed using the facility in terms of number and impact of research publications and other outputs.
- User demand.
- Satisfaction of the user community with the staff and support provided by the research facility.
- Overall availability of quality instrument time and capabilities to the user community.
- Internal process for effectively and fairly allocating time and resources of the research facility.
- Appropriateness of the instruments to satisfy the present and future needs of the user community.
- Performance and cost effectiveness of the operation of the research facility.
- Appropriateness of level of research and development funding for efforts related to improving operations, instrumentation, sample preparation, and upkeep of the research facility.

Appendix E

Process for Six-Year Review of Research Centers and Institutes

The Vice Provost for Research (VPR) is responsible for initiating and coordinating reviews of research centers and institutes, unless otherwise designated by the Provost. The VPR coordinates the review process with the relevant Deans, Vice-Chancellors and Provost and maintains the university review calendar.

- The VPR will provide each Dean with a copy of this document and a list of research centers and institutes under his/her supervision that are scheduled for a six-year review by June 1 of the preceding academic year.
- The VPR will discuss goals and expected outcomes of the six-year review process with each Dean (and, if applicable, the partner Deans for research centers/institutes with faculty members from multiple schools and colleges). The Dean(s) will also be consulted on customization of instructions for the review committee.
- The VPR will inform the research center/institute Director of the six-year review, outlining the process and providing the framework for review (as detailed in Appendices C and D), including any modifications made in consultation with the Dean(s). The Director will also be consulted on selection of the external reviewers.
- The Director will prepare the self-study, and send it to the Dean(s) and VPR.
- For each review, a review committee will be formed which will include one to two members with appropriate expertise from outside UWM and at least one faculty member from within UWM who do not have an affiliation with the research center/institute. The internal reviewer(s) will be selected by the Research Policy and Advisory Committee. The VPR will invite the external committee member(s).
- The VPR will send a copy of the self-study and the reviewers' instructions to the review committee and schedule an in-person or virtual site visit.
- The review committee will conduct the site visit, and then submit a report to the VPR, including a recommendation on continuance. Recommendations can include:
 - Continuance without Conditions. The research center/institute will continue current operations with no changes or actions. The next comprehensive review would be scheduled in six years unless another time period is recommended.
 - Continuance with Recommended Changes or Actions. The research center/institute will continue to operate under specific provisions (e.g., specified follow-up actions, abbreviated review period, reorganization, consultant visit, etc.). Procedures for change are listed in Appendix F.
 - Extended Review: Provisional Status. Due to issues identified during the review process, the research center/institute will be the subject of an extended internal review involving additional senior administrators (e.g., Vice Provost for Research,

- supervising Dean(s), other academic leadership). This process may result in multiple recommendations regarding continuance or discontinuance.
- Discontinuance. The research center/institute will be discontinued with a plan created for phasing out the structure and operations (see Appendices F and G).
 - The VPR will share the report with the Provost, Dean, Director and (if applicable) partner Deans. The Dean and Director will each submit a written response.
 - The VPR will circulate the report and responses to the Research Policy and Advisory Committee and allow for 30 days for the RPAC to review and comment.
 - The VPR, Dean, and Director will meet to review the report, response, and associated comments. The Dean, in consultation with any relevant associate dean, will make recommendations based on the review. The Dean will forward the recommendations to the VPR and the Provost.
 - If the Dean recommends renaming or discontinuing a research center or institute, the Provost will circulate the review and recommendations to the University Committee and the Academic Planning and Budget Committee and allow 30 days for review and comment before acting on the recommendation (SAAP 1-1).
 - If the Dean recommends significant changes, including reorganizing a research center or institute, the Director will work with the advisory committees and Dean to revise the approved research center/institute authorization. The revised version must be circulated to the APBC with a 30 day review and comment period. The changes must be approved by the Provost and the Chancellor. Copies of the revised document must be sent to the Faculty Senate as an informational item (SAAP 1-6).
 - The Provost will inform the Faculty Senate of the outcomes of all research center/institute reviews.
 - The VPR will serve as the record keeper.

Appendix F

Procedures for Changes to Research Centers/Institutes

When it is necessary to make an administrative change to an existing research center/institute, the process may be accomplished by documenting the proposed change and following the appropriate approval procedures (SAAP 1-1 and SAAP 1-6).

Allowable administrative changes under this procedure are:

Rename – Rename an existing research center/institute – may be used to reflect changes in the focus or community a unit serves, or to better identify a unit with the field in which it works. The approval process is detailed in SAAP 1-1.

Reorganize – Reorganize an existing research center/institute – may be used to identify/reflect changes in a unit's leadership, home department, home school/college or vice provost for research area as its placement within the university. Any proposed reorganizational change must be circulated to the Academic Planning and Budget Committee with a 30 day review and comment period. The changes must be approved by the appropriate dean, and vice chancellor. Copies of the revised document must be sent to the Faculty Senate as an informational item.

Discontinue – Discontinuation of an existing research center/institute – must be used to initiate closure/discontinuation of an existing unit. The approval process for discontinuing a center or institute is detailed in SAAP 1-1. The Dean and Director are responsible for preparing a plan to implement this decision (see Appendix G). Note that Deans, Vice Provost for Research, and Provost may initiate discontinuance due to reasons outside the review process, but should follow the process outlined in Appendix G to develop a Discontinuance Plan.

Appendix G

Research Center/Institute Discontinuance Plan

Once the decision to discontinue a research center or institute is approved (per SAAP 1-1), the Director in consultation with the Dean(s) shall develop a Discontinuance Plan for the unit. This plan will require the formal approval of the Dean(s) for centers, and the Provost (or his/her delegate) for institutes.

Normally the research center/institute will cease operations immediately and the Director may not submit or enter into any contracts in the name of the research center/institute. Transfer of faculty and staff may take up to one year but generally should be implemented as quickly as possible. All teaching and administrative obligations must be met during this period.

The plan will outline:

- Data archiving and storage provisions
- Publications completion
- Transfer of equipment and space allocated to the research center/institute
- Formal notification of cessation internally and externally
- Transfer of faculty and staff
- Closure of accounts
- Disposition of animals, if appropriate
- Removal and disposal of hazardous materials
- Transfer or terminations of contracts
- Budget for discontinuance.
- Any other matters material to the operation of the research center/institute.

On completion of the Discontinuance Plan, the Director is required to obtain certification of completion of all obligations under the plan by the Dean or Provost. Until this is obtained the Director continues to have responsibility for the organization.