

PERIODIC REVIEW AND REAUTHORIZATION OF UNIVERSITY RESEARCH RII UNIT ***GUIDANCE DOCUMENT***

Coupled with strategic planning, periodic review for reauthorization is essential to advancing the missions of University Institutes/Centers and ensuring that they are well positioned to facilitate interdisciplinary scholarship, research, innovation, and impact.

Just as the periodic Academic Program Review (APR) process serves to maintain and improve discipline-centered departments via self-study, peer feedback, and strategic/opportunity guidance, the objective of the periodic review for interdisciplinary Institutes/Centers is use these same mechanisms to provide a clear assessment of strengths and challenges, help guide future directions.

An effective periodic review benefits the Institute/Center in planning for the future, fully engages the faculty and administration in the development of the self-study, external peer review, unit response, and the subsequent implementation of the recommendations. Institutes/Centers can realize these benefits from a quality review tailored to the scope and scale of its activities, including:

- Examination of the quality and value of the Institute/Center's activities by faculty, staff, students, and if appropriate, collaborators from the community or other entities.
- Clarification, evaluation, and perhaps revision, of the Institute/Center's goals, strengths, challenges, and opportunities.
- Analysis of internal and external factors that influence the Institute/Center's current and future activities, strategic planning, and decisions on resources.
- Assessment of the Institute/Center's objectives and how they enable achievement of the University's strategic priorities and goals and support its faculty, staff, students, and the communities it serves.

As delegated by the President, the Senior Vice President for Research and their delegates are responsible for the coordination, oversight and documentation of the periodic review and reauthorization processes of all University Research Institutes/Centers. As such, the office for Research, Innovation & Impact (RII) serves as the main point of contact for this process, although the periodic review and reauthorization is a collaborative process with senior university administrators, college deans, and department heads whose faculty are Institute/Center members.



Periodic Review

All Institutes/Centers are expected to undergo periodic review for reauthorization no more than 5 years after initial establishment, and for periodic renewal every 7 years (minimum frequency) thereafter. RII initiates the need for review by informing the Institute/Center Director. In extenuating circumstances, the Director may request, via an official memorandum explaining the reasons, an extension of up to one year from the Senior Vice President for Research. A periodic review of a university research Institute/Center can also be initiated by the Director or Senior Vice President for Research at any time. In the absence of timely completion of the initial periodic review process, the Institute/Center will be suspended and "sunsetting" after the establishment period has been completed. The Institute/Center then will no longer be considered a campus unit and is not permitted to continue to act as an Institute/Center from that time onward.

The Institute/Center Director is expected to conduct a periodic review in coordination with RII (see "Sample Calendar of Activities" outlining the review process). Typically, there are three components to the periodic review:

- Internal Self-Study Report;
- External peer review of the Institute/Center that produces an Evaluation Report with recommendations for the Institute/Center;
- Internal Review Response outlining specific actions the Institute/Center will take to address the Evaluation Report's recommendations over the following performance period.

The Self-Study Report (see *Self Study Report Sample Outline*) should reflect on the Institute/Center's past accomplishments and present needs to refine its future mission, achieve its goals, and expand impact. The Director coordinates with Institute/Center staff, faculty, and affiliate members in the preparation of the Self-Study Report which shall be submitted to RII at least 3 months prior to the scheduled review date.

The external peer review shall be conducted by a team of individuals who have national expertise in areas that are common with the Institute/Center. The Director, in consultation with the Institute/Center members and the pertinent cognizant deans, submits nominations to the Associate Vice President, University Research Institutes and Centers for those to serve on the Review Team. The Review Team composition will vary among Institutes/Centers, but should be reflective of the university's core value of diversity in perspectives, and thus will typically include: 1) at least two individuals who are employed at other peer or similarly well-regarded institutions, agencies, or industries (faculty or similarly qualified professionals) outside of the University of Arizona; 2) at least one faculty member from the University of Arizona who is not affiliated with the Institute/Center and 3) two faculty members from the University of Arizona who are not affiliated with the Institute/Center of the University of Arizona. The Associate Vice President, University Research Institutes and Centers reviews the nominated candidates, appoints the External Review Team, and designates one member as Chair.

The external Review Team is required to review the Self-Study Report and conduct a campus visit that includes meetings with relevant administrators, faculty, staff, students, and affiliate and advisory members to gain a more thorough understanding of the Institute/Center to conduct their evaluation. Two exit meetings also are required for the Review Team to provide preliminary evaluation of and recommendations for the Institute/Center: one with the Director, members, and designated staff and a

second exit interview the Senior Vice President for Research, relevant Dean(s) and any other pertinent university administrators. RII schedules the on-campus review, pays for the travel and honoraria costs of the external reviewers, develops the charge statement for the Review Team based on input from the cognizant Deans, and establishes the review team meeting schedule framework in coordination with the Institute/Center. The Institute/Center is responsible for providing suitable meeting space and logistical support during the Review Team campus visit.

Within 30 days of the campus visit, the Review Team shall submit the written Evaluation Report to the Senior Vice President for Research and Director. The Evaluation Report should focus on recommendations to strengthen the Institute/Center within existing resources and operating context, as well as suggestions for configurational changes or investment that would have the greatest impact to advance quality and increase research and engagement activities. The Evaluation Report shall include:

- Brief Introduction
- Strengths and Weaknesses
- Recommendations that are specific, concrete, and feasible that can be reasonably implemented within the resources currently in place.
- Other sections at the Review Team's discretion.

Within 30 days of receipt of the Review Team's Evaluation Report, the Institute/Center Director and Senior Vice President for Research shall meet to discuss its recommendations and mutually identify actions and timelines to address them. This should include any anticipated modifications in the type, mission or purpose of the Institute/Center and description of the proposed changes. Based on this discussion, the Institute/Center Director submits to RII a Review Response that describes the planned actions for the next performance period.

Institute/Center faculty, staff, students, and affiliate and advisory members are expected to be actively engaged in all phases of the periodic review process. They are expected to be familiar with the Self-Study Report, participate in the Review Team's campus visit, and actively participate in the development of the Institute/Center response.

Reauthorization of Institutes/Centers

Reauthorization may be requested by the Institute/Center Director following either the initial 5-year or ongoing 7-year performance periods. Following completion of the Periodic Review, the Institute/Center Director submits a request for reauthorization to the Senior Vice President for Research that briefly describes:

- Review process
- Summary of external Review Team recommendations
- Institute/Center Review Response
- Requested period of reauthorization (up to 7 years)

Copies of the periodic review supporting documents (reports, itineraries, etc.) should be appended to the reauthorization request.

If the Periodic Review recommends the Institute/Center proceed into the next performance period without significant modifications from the previous authorization period, only a brief review by the Senior Vice President for Research will be necessary. If substantive changes in the type, mission or purpose are requested, a more intensive review will be conducted appropriate to the nature and scope of the requested changes. For major and fundamental changes to the Institute/Center, the Director may be requested to submit material as described in the *Guidance on Establishment and Modification of Centers and Institutes* which may include review by the Dean's and/or Provost's Council.

The Senior Vice President for Research makes the final determination of reauthorization. RII is responsible for disseminating this determination, along with corresponding reports, to the Institute/Center Director, Provost, relevant Deans, and others as appropriate.

Establishment of RII Center/Institute Affiliated Unit

Establishment proposals undergo authorization review on a pro forma basis – The review is conducted as if the new affiliated unit is part of the Institute/Center in which it is housed, and the review entails the entirety of the proposed organization.

Proposals successfully reviewed are presented for approval to the Senior Vice President of Research (Approval form provided by RII coordinator upon request).

Approved Institutes/Center affiliations will be on a 3-year probationary period. If at the 3-year periodic review the affiliated unit has proven effective, it may apply to become its own Institute/Center or remain a component of the Institute/Center with which it is affiliated. If the 3-year review indicates it has not been successful, it will be terminated.

NOTE: Expenses incurred for unit affiliation review will be the responsibility of the Institute/Center.