

GUIDANCE FOR THE ESTABLISHMENT OF A NEW CENTER/INSTITUTE (NON-ACADEMIC UNIT)

Non-academic units are established to facilitate research and/or outreach initiatives and are usually called centers or institutes. These non-academic units do not offer degree programs and generally do not offer courses, but may support the research and outreach activities of an academic unit. The Arizona Board of Regents (ABOR) has delegated to the Universities authority to approve the creation, modification, or disestablishment of non-academic units, set forth by the following policy:

ABOR Policy 2-222 C. -- Research Centers or Institutes:

1. Emphasizes research and/or public service;
2. Includes faculty or staff from several disciplines to coordinate research or public service;
3. Disseminates new knowledge or provides technical assistance;
4. Has a separate identification in University operating budget;
5. Has assigned faculty and staff;
6. Is recognized by federal agencies providing budgetary support on a temporary basis;
7. May offer course work and continuing education.

Because the vast majority of these non-academic units have a primary or secondary focus on facilitating research and scholarly inquiry, the President has delegated the responsibility for administering the process to establish, modify, and reauthorize all Centers and Institutes at the University of Arizona to Research, Discovery & Innovation.

In the special case where the primary goal is to establish a Center related to an instructional or student affairs purpose put forth by the sponsoring (S)VP, Research, Discovery & Innovation still is responsible for coordinating the creation, modification and disestablishment process. Research, Discovery & Innovation will adapt the vetting process and utilize relevant professionals for the review as warranted. In this case, the sponsoring (S)VP makes the initial affirmative judgement about its necessity, requests the review for establishment, provides written material in response to review, and will be notified of approval.

I. Types of Institutes/Centers

UNIVERSITY-WIDE INSTITUTE or CENTER: University Institutes/Centers (UI/Cs) are expected to drive excellence in interdisciplinary inquiry, intentionally facilitate cross-cutting collaboration to attract resources and provide public benefit, and transcend an individual discipline or college, and as such, include identified members from the faculty of multiple colleges. For these definitional purposes, colleges within University of Arizona Health Sciences are considered to “count” as one, and as such, UI/Cs must include at least sponsoring college beyond the Health Sciences to be considered university-wide. To grow and succeed, UI/Cs typically require specialized infrastructure (e.g., space, facilities, equipment or

professional expertise) beyond what can be typically expected from a college, and thus have a budget that is fiscally independent of other academic units. UI/Cs are expected to generate substantial external funding (typically over \$1 million/year) from either extramural sponsors or philanthropic resources to sustainably support its success. University-wide Institutes and Centers report to the Senior Vice President for Research, and Research, Discovery & Innovation is responsible for ongoing review.

COLLEGE LEVEL CENTER or INSTITUTE: College Centers/Institutes (CC/Is) are expected to support excellence in interdisciplinary inquiry and collaboration, at a scale primarily within the scope of the college. For these definitional purposes, colleges within University of Arizona Health Sciences are considered to “count” as one, and as such, even if there is more than one sponsoring Health Sciences college, the center or institute is defined as a CC/I. CC/Is may have some specialized infrastructure (e.g., space, facilities, equipment or professional expertise) that typically are contained within a college. CC/Is have a separate budget that is fiscally independent of other academic units within the college and is managed under the purview of the college. CC/Is are expected to generate sustainable external funding from either extramural sponsors or philanthropic resources in support of its operation. College-level Centers and Institutes report to the cognizant dean(s), who is responsible for the review process.

Generally, activities that can be accomplished by personnel with appointments in a single department or office are considered “programs”, “laboratories”, “bureaus”, or “initiatives”, are not defined as Non-Academic Centers/Institutes under ABOR policy, do not need to engage in the implementation process described below, and are a part of the department’s usual scope of authority, budget, oversight, and review.

II. Process for the Establishment of All Institutes and Centers

Research, Discovery & Innovation oversees the process for the creation, modification, review and reauthorization of all Centers and Institutes at the University of Arizona.

As such, staff from Research, Discovery & Innovation are available for ongoing consultation and assistance, and those interested in establishing a center or institute are recommended to consult with Research, Discovery & Innovation before initiating the process.

Groups of university faculty and staff develop the concept for the interdisciplinary focus and activities that will constitute the proposed college or university institute or center. The group seeks input from relevant and affected department heads and cognizant Dean(s) and/or Vice President.

The Cognizant Administrator(s) (typically college dean or (senior) vice president), singly or collectively, makes an initial affirmative judgement about the necessity of the College-level or University-wide Center/Institute, then formally requests institutional review for establishment by Research, Discovery & Innovation, and lastly submits the completed implementation form to Research, Discovery & Innovation’s Center/Institute Coordinator to initiate the process.



Research, Discovery & Innovation performs the initial review for completion, sufficiency, and potential overlap with other extant units, and works with the proposing team and Cognizant Administrator to further hone the implementation request, as warranted.

Following internal review, the implementation request is vetted by Research, Discovery & Innovation with the Dean's Council and Provost's Council. Where possible, the Cognizant Administrator and Center/Institute leadership will be invited to join the review to answer questions or issues. Other offices may be asked to review the implementation request (e.g. Office of General Counsel) as warranted.

The Cognizant Administrator shall submit written material addressing any concerns raised by the Dean's or Provost's Councils, or other offices as warranted, which will be considered in the final review by the Senior Vice President for Research.

Recommendation for approval of the Center or Institute is submitted by the Senior Vice President for Research to the President, who makes the final determination.

Written approval will be conveyed to the Cognizant Administrator by the Senior Vice President for Research, and upon approval, the Center/Institute will be listed on the University of Arizona website.

Centers and Institutes may be authorized for an initial term of up to five years, and renewals are reauthorized for a period of up to seven years.

III. Modification of Existing Centers & Institutes

The Cognizant Administrator, singly or collectively, may request to modify or disestablish a College-level or University-wide Center/Institute by submitting a written request to the Research, Discovery & Innovation Center/Institute Coordinator that describes the desired change and rationale for the modification. These requests will be reviewed by the Senior Vice President for Research, and an appropriate action, including a review process, will be taken tailored to the nature of the request.

IV. Annual Reporting by All Centers and Institutes

College-level Centers and Institutes. Annually, all Institutes and Centers are expected to develop an *Annual Report* of 1) list of members and process used to define membership, 2) its activities, outcomes and impacts of the prior year, 3) to internally assess progress and critically evaluate achievement against its goals, and 4) describe action plan for the upcoming year to continue to advance to its goals.

The College Center or Institute Director provides this Annual Report to the Cognizant Administrator, typically the college dean, as well as an updated business plan for the upcoming period.



The Cognizant Administrator reviews and discusses this Annual Report and business plan with the Director, finalizes the evaluation, and then approves the action and business plans.

The Cognizant Administrator then submits the Annual Report and updated business plan to Research, Discovery & Innovation for recording.

University-wide Institutes and Centers. Annually, all Institutes and Centers are expected to develop an *Annual Report* of 1) list of members and process used to define membership, 2) its activities, outcomes and impacts of the prior year, 3) to internally assess progress and critically evaluate achievement against its goals, and 4) describe action plan for the upcoming year to continue to advance to its goals. University Institutes and Centers are encouraged to utilize input from their external advisory boards in this process where warranted and feasible.

The University Institute or Center Director provides this Annual Report to the Senior Vice President for Research, as well as an updated business plan for the upcoming period.

The Senior Vice President for Research, or designee, reviews and discusses this Annual Report and business plan with the Director, finalizes the evaluation, and then approves the action and business plans.

The Annual Report and updated business plan are recorded by Research, Discovery & Innovation's Center/Institute Coordinator.

IV. Periodic Review and Reauthorization of All Centers and Institutes

All Centers and Institutes are expected to undergo periodic review prior to request for reauthorization. Please see "*Guidance for Periodic Review and Reauthorization of All Centers and Institutes*" for specific information on the processes. Without such explicit review and reauthorization and timely completion of the attendant processes, Centers and Institutes will be suspended and "sunsetted" after the term of approval has been completed, and the Center or Institute will then no longer be considered a campus unit and is not permitted to continue to act as campus units at that time.

