

DATE: April 9, 2015
TO: Karen Daas & Faculty Senators
FROM: Robert Hard, Chair Faculty Senate HOP Committee
RE: HOP 10.03 Organized Research Units

HOP 10.03 addresses the formation, purpose, and review of centers and institutes.

Centers and institutes compose key units across the institution and frequently facilitate important research activities. Our four proposed changes are to encourage, and formalize greater levels of faculty involvement and awareness in the activities of these units.

We propose additions to I. (Policy Statement), IX.C.3 (Advisory Committee), IX.D.1 (Annual Reports), IX.D.2. and (Six-Year Report and Review),

HOP Committee identified stakeholders: 2/24/15
Submitted to stakeholders: 2/25/15
Deadline for providing feedback to Dr. Jesse Zapata: 4/27/15

Handbook of Operating Procedures
Chapter 10 - Research Administration

10.03 Guidelines for Organized Research Units

I. POLICY STATEMENT

An Organized Research Unit (ORU) is a unit established by The University of Texas at San Antonio (UTSA) to provide an infrastructure for inter- and multi-disciplinary research complementary to the research focus and goals of the University. The primary function of an ORU is to facilitate scientific inquiry that involves researchers from multiple units across disciplines, departments, or colleges. ORUs will enable research collaborations, the dissemination of research results through professional research conferences, meetings and other activities, the strengthening of graduate and undergraduate education by providing students with research training opportunities and access to facilities, and the seeking and acquisition of extramural research funds related to the ORU's research expertise. ORUs will seek to inform, engage, and collaborate with faculty members with related interests.

II. RATIONALE

This policy sets forth appropriate and relevant guidelines and procedures for establishing, reviewing, and closing ORUs to ensure that all such units maintain the highest academic and research standards, contributing most effectively to the intellectual vitality of UTSA.

III. SCOPE

This policy applies to all UTSA Research Centers and Research Institutes. This policy does not apply to centers or institutes that do not have research as their principal function.

IV. WEBSITE ADDRESS FOR THIS POLICY

<http://www.utsa.edu/hop/chapter10/10-3.html>

V. RELATED STATUTES, POLICIES, REQUIREMENTS OR STANDARDS

UTSA or UT System Policies or the Board of Regents' Rules & Regulations

- A. Board of Regents' [Rule 40602](#), Organized Research Units

- B. Board of Regents' [Rule 60302](#), Advisory Councils of an Institution
- C. Board of Regents' [Rule 80307](#), Naming Policy

VI. CONTACTS

If you have any questions about HOP policy 10.03, *Guidelines for Organized Research Units*, contact the following office:

Dean's Research Council
DRC Chair 210-458-4450

VII. DEFINITIONS

Non-research Centers or Institutes: This policy does not apply to centers or institutes that do not have research as their principal function.

Research Centers: A center is a unit that furthers research in a discipline, sub discipline, or analogous subject area, by means beyond those typically available within an academic department. Some centers are supported largely from appropriated funds; others receive no direct support from appropriated funds, depending entirely on sponsorship by outside agencies and foundations. Whatever the source of support, there should be a clear need for some number of faculty members to work together in a single administrative unit distinct from existing academic structures in order to carry out a more effective research program. The unit may also engage in public service activities stemming from its research program, within the limits of its stated objectives.

Research Institutes: An institute is a major unit that coordinates and promotes thematic, interdisciplinary research on a continuing basis across departments, schools, colleges, or campus boundaries. The unit enhances and supports broad-based research efforts. The unit may also engage in public service activities stemming from its research program, within the limits of its stated objectives.

VIII. RESPONSIBILITIES

A. The Dean's Research Council (DRC)

1. Reviews new proposals for establishing new ORUs and makes recommendations to the President
2. Reviews/approves ORU By-laws
3. Recommends appointment of Director to the President
4. Reviews/approves ORU Advisory Memberships
5. Reviews/approves changes in ORU leadership
6. Review resignations
7. Review Annual Reports
8. Selects ORUs for six-year review

9. Reviews Six-Year Reports
10. Recommends dissolution of an ORU to the President

B. Vice President for Research

1. Reviews/recommends proposals for establishment of a new ORU
2. Circulates proposals for establishing new ORUs to the DRC
3. Reviews ORU Director appointments in consultation with the DRC and makes recommendations to the President
4. Reviews/approves ORU Advisory Committees in consultation with the DRC
5. Reviews/approves changes in ORU leadership in consultation with the DRC
6. Provides format for six-year reviews
7. Appoints six-year review committee and manages the review process
8. Notifies ORU Directors if selected for a six-year review
9. Recommends actions to the DRC based on the results of the six-year review
10. Reviews ORU Director resignations

C. The Office of Research Support

1. Maintains records of annual and six-year reviews
2. Submits reviewer's comments/recommendations to the Vice President for Research and the Provost and Vice President for Academic Affairs

D. Provost and Vice President for Academic Affairs (Provost)

1. Reviews and recommends establishment of a new ORU to the President

E. Advisory Committees

1. Set Research Center and Institute goals
2. Reviews Research Center and Institute Annual Reviews

F. President

1. Appoints Research Center and Institute Directors
2. Approves the establishment of new Research Centers and Institutes
3. Dissolves Research Center and Institutes

IX. PROCEDURES

A. Establishing a Research Center or Institute

Approval of a proposed center or institute is made by the President on recommendation of the Provost and Vice-President for Academic Affairs (Provost), Vice President for Research (VPR) and the Deans' Research Council. A research center or institute with a projected annual budget of more than \$3M must also be approved by the University of Texas System (UT System) Executive Vice Chancellor for Academic Affairs and must meet all

requirements found in Board of Regents' Rules and Regulations, Series 40000, Section 40602.

Proposals for new ORUs may be introduced by the VPR or the Dean of a College. Proposals will be circulated by the VPR's Office for review by the Dean's Research Council, the Provost, and the VPR, and must be approved by each before being advanced to the President for consideration. New institutes must also be reviewed and approved by UT System. Review may also include input and advice from internal or external groups at the request of any of the reviewers.

Proposals for the establishment of ORUs should demonstrate the necessity and benefits of forming a new ORU. The proposal should clarify that no existing department, college or other research center or institute is an appropriate locus already for the work proposed. Format and content of proposals for new ORUs will be provided by the VPR's Office.

Proposals for the establishment of ORUs will be reviewed with the following criteria in mind:

1. Plans for involvement of faculty members across more than college and/or department if relevant.
2. Organized around a research theme aligned with UTSA's research themes with a high potential benefit for research, creative work and education at the University.
3. Proposed Director is appropriate for the administration of the ORU and has demonstrated leadership skills and the ability to generate extramural support.
4. The ORU has a unique niche within UTSA and does not duplicate the foci or efforts of already existing ORUs.
5. Plans for involving graduate and undergraduate students in its research activities if relevant.
6. Cost of start-up and space required from UTSA, and the College or Colleges, with documentation of relevant commitments for support.
7. The likelihood of developing self-sustainable funding within a reasonable period of time with estimates of levels of support needed for maintenance and growth of the ORU.

B. Naming a Research Center or Institute

Ideally, the name of an ORU should indicate its primary research function, purpose and need for the research center or institute. Proposals to name the research center or institute for an individual or an entity must follow Regents' Rule, 80307 which governs such a naming.

C. Administrative Structure

Research Centers and Institutes with established by-laws which have been reviewed and approved by the Dean's Research Council will be governed by such. These by-laws will govern the organizational structure, appointment terms and selection of the Research Center or Institute leadership.

1. Appointment of Director

The Director of an ORU is appointed by the President after consultation with the Vice

President for Research and the Deans' Research Council. Directors are generally appointed for a six-year term with the possibility of reappointment, and report to the nearest ranking line administrator (typically, Dean, Chair or designee for research centers, Provost and Vice-President for Academic Affairs or designee for research institutes). Director's responsibilities include:

- a. Accountability for the ORU's performance.
- b. Day-to-day management of the ORU.
- c. Responsiveness to direction provided by the ORU's Advisory Committee and the Deans' Research Council.

2. Appointment of ORU Affiliates

UTSA faculty members and non-UTSA employees (external faculty members and researchers) may be appointed as affiliates of an ORU by the Director after consultation with the ORU's Advisory Committee. Affiliates are generally appointed for three-year terms with the possibility of reappointment by the Director. Appointments of faculty members require review and approval of the appropriate academic unit administrator (e.g. chair or dean).

3. Advisory Committee

An Advisory Committee should be appointed for each ORU. The Director of the ORU will form the Advisory Committee from recognized leaders in the research field of the ORU and should come from both inside and outside the University. The Advisory Committee should include University faculty members that have relevant subject interests. Recommended members and changes to the Advisory Committee will be reviewed for approval by the Deans' Research Council. Faculty who are members of the ORU cannot serve on the Advisory Committee. The Advisory Committee should meet regularly and participate actively in setting the ORU's goals and in critically evaluating its effectiveness on a continuing basis, including a review of the ORU's Annual Report.

4. Administrative Operations

UTSA ORUs report to Deans' Research Council. The ORU must follow administrative review and approval processes set forth by UTSA and the Deans' Research Council. Changes in the leadership and governance of ORUs must be approved by the Deans' Research Council.

D. Annual and Six-Year Reviews

1. Annual Reports

All research centers and institutes must submit reports annually giving an account of research and scholarly activities performed during the preceding year. Each ORU will submit an annual report to the VPR and the Deans' Research Council through the line administrator to which the ORU reports. The format of the report will be provided by the Office of the VPR. Annual reports will be circulated to faculty with subject

interests related to that of the ORU.

2. Six-Year Report and Review

Reviews of ORUs will be conducted at least once every six years or as recommended by the Dean's Research Council. Reviews may be conducted more frequently at the direction of the Dean's Research Council. Six-year reviews may be waived, following rigorous consideration, by unanimous agreement of the Dean's Research Council and **the**. The Office of Research Support will develop a schedule of reviews for centers and institutes in consultation with the Dean's Research Council. The Office of Research Support shall maintain records as to review schedules and completion to ensure that centers and institutes have been reviewed and evaluated at least once within the approved required review period. Each ORU will be fully reviewed every six 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 but will include UTSA faculty with related research interests. The VPR is responsible for appointing review committees and for managing the conduct of the reviews. ORU directors will be notified by the VPR's Office at least six months prior to their review about when their review will occur. The VPR's Office will provide ORU directors with opportunities to suggest reviewers and with a clear description of six-year report requirements and timeline for the review process.

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Following the review, the review committee will produce a report with statements regarding progress and challenges for the ORU with recommendations about possible actions to be considered by the Deans' Research Council. Recommended actions will be supported by information from the review process.

The VPR's Office will provide a copy of the review to the ORU director. The director will be provided an opportunity with a reasonable amount of time to address any factual errors that may be contained in the report and to respond to recommendations in the report.

The Office of Research Support shall submit a copy of the review along with the Director's response to the Deans' Research Council. The Deans' Research Council shall review the reports and provide comments and/or recommendations as to improvements or other further actions that may be indicated. The Office of Research Support shall submit comments and/or recommendations with copies of the review documents to the VPR and Provost or other responsible university official(s). After receiving comments from these officials, the VPR shall make recommendations to the Deans' Research Council concerning actions to be taken. These actions may include, but are not limited to, personnel actions, modifications of the centers' or institute's mission or programs, or dissolution of the center or institute. The Deans' Research Council shall provide copies of the comments and/or recommendations to the ORU director and provide any other guidance or directions to the center or institute director resulting from the review, comments and/or recommendations.

Nothing in these guidelines shall prohibit or discourage college(s) or responsible university office(s) from conducting additional and/or special reviews or requiring additional reports as deemed necessary and/or beneficial.

E. Resignation of Research Center/Institute Director

A Research Center/Institute Director who wishes to resign is expected to give notice in writing as early as possible, but in any event no less than three months before the resignation will be effective. Resignations must be submitted in writing to the Chair of The Dean's Research Council with copy to the Vice President for Research.

F. Dissolution of Centers or Institutes

In the event that an ORU is not performing according to expectations, the Deans' Research Council may recommend the dissolution of an ORU to the President. When a recommendation to dissolve an ORU is introduced in the Deans' Research Council and the ORU reports to a member of the Council, that member may participate in discussions but must recuse him or herself from the vote on the recommendation. A recommendation for dissolution of an ORU should be accompanied with a statement of the rationale. The Deans' Research Council may consider content from previous ORU reviews and may require a probationary period or interim review before forming its final recommendation. The President will decide whether or not to accept and implement the recommendation. Approval to dissolve institutes may require additional review and approval by UT System.

X. SPECIAL INSTRUCTIONS FOR INITIAL IMPLEMENTATION

None

XI. FORMS AND TOOLS/ONLINE PROCESSES

Research Centers and Institutes will utilize a web-based reporting system for both Annual Reports and Six-Year Reports.

XII. APPENDIX

None