OLD DOMINION UNIVERSITY
University Policy

Policy #????
POLICY ON RESEARCH INSTITUTES AND CENTERS AND ENTERPRISE RESEARCH INSTITUTES AND CENTERS

Responsible Oversight Executive: Vice President for Research and Economic Development
Date of Current Revision or Creation: Date

A. PURPOSE

Comprehensive universities with a very high research activity have well-defined institutes and centers that serve to invite and coalesce faculty, staff, and students around a significant research topic or theme and across traditional disciplinary lines. The purpose of this policy is to provide definitions and procedures for planning, evaluating, approving, designating, and discontinuing a research institute or center (RIC) or an enterprise research institute or center (ERIC). University designation as a RIC or ERIC is a recognition of a significant programmatic research mission and capacity for Old Dominion University. As such, a RIC or ERIC is expected to enhance the recognition, reputation, and level of externally sponsored research activity in some area of strategic importance to the University. Only research institutes and centers that comply with this policy may be referred to, directly or implied, as a research institute or research center.

B. AUTHORITY

Code of Virginia Section 23.1-1301, as amended, grants authority to the Board of Visitors to establish rules and policies concerning the institution. Section 7.01(a)(6) of the Board of Visitors Bylaws grants authority to the President to implement the policies and procedures of the Board relating to University operations.

C. DEFINITIONS

Research Center – A research center is a university designated and approved organizational and administrative unit that has research as the central focus of its mission and activities and is engaged in advancing research, scholarly activities, and/or creative endeavors. A research center engages in disciplinary, multidisciplinary, or interdisciplinary activities, and includes multiple active participants from a single discipline or across multiple disciplines. A research center usually addresses meaningful and complex issues of critical need and importance, provides solutions and innovations to an extent not possible in its absence, and elevates the recognition and reputation of the University in the research centers area of focus.

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Research Institute – In addition to having all the defining attributes of a research center, a research institute is broader in scope, has a larger portfolio of activities, receives additional investments in its activities, and may include a portfolio of purposefully associated centers within its broader focus. Typically, a research institute would lead transdisciplinary activities, integrating across disciplines, and transcend traditional disciplinary boundaries. At a minimum, a research institute engages faculty beyond a single discipline with a focus on multidisciplinary or interdisciplinary problems and activities. A research institute addresses large, meaningful, and complex issues of critical need and importance, provides solutions and innovations to an extent not possible in its absence, and significantly elevates the recognition and overall reputation of the University.

Research Institute or Center (RIC) – A research institute or center, or RIC, is a general reference to any university-designated research institute or center, including an enterprise research institute or center, or ERIC, as defined in this policy. A RIC shall be recognized on a central University website, may receive some form of department, college/school, and/or division subsidy, and have access to ODU's Equipment Trust Fund (ETF) monies from the state through the RIC's administrative home and/or the Division of Research and Economic Development.

Enterprise Research Institute or Center (ERIC) – A RIC may be elevated to be a university-designated enterprise research institute or center, or ERIC, based on its demonstrated ability to sustain a high level of externally-sponsored research activities, expenditures, productivity, and broad engagement. An ERIC shall be recognized on a central University website, receives some form of department, college/school, and/or division subsidy.

Faculty Research Advisory Committee (RAC) – The Faculty Research Advisory Committee, or RAC, is a committee convened by the Vice President for Research and Economic Development (VPRED). The RAC is comprised of one faculty appointee representing each college or school and one appointee from the libraries. These appointees will be nominated by the appropriate dean and be confirmed in consultation with the Executive Vice President for Health Sciences and the Provost and Executive Vice President for Academic Affairs. One appointee will be nominated by the Vice President for Digital Transformation and Technology to represent that division. One faculty appointee representing enterprise research institutes and centers will be nominated by the Associate Vice President for Enterprise Research and Innovation. The RAC will, in addition to other matters, assist with the review of nominees for faculty research, scholarship and creative activity awards, of proposals to establish a new RIC or ERIC, and with the review of an existing RIC or ERIC.

Research Institute or Center Development Review Committee (RIC-DRC) – The Research Institute and Center Development Review Committee, or RIC-DRC, is an ad hoc committee convened by the VPRED in consultation with the Executive Vice President for Health Sciences, the Provost and Executive Vice President for Academic Affairs, and the Vice President for Digital Transformation and Technology. The purpose of the RIC-DRC is to review the merit of a specific application to establish a new RIC; a RIC-DRC is not convened for applications to elevate an existing RIC to be designated as an ERIC. When an application to establish a new RIC is received, a RIC-DRC will be formed to review the application.

D. **SCOPE**

This policy applies to an institute or center within Old Dominion University that has a primary mission with a significant focus on research, regardless of their administrative home. This policy extends to all faculty, staff, students, and all other personnel associated with ODU who are involved in creating, leading, supporting, or participating in a research institute or center.

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This policy does not apply to research-related labs, groups, organizations, activities, or programs that do not use or imply the term "center" or "institute" as defined in this policy. Academic, service, and other non-research focused institutes and centers, as well as faculty, staff, students, and all other personnel associated with ODU who are involved with such non-research focused institutes and centers, are not subject to this policy.

E. POLICY STATEMENT

The designation and approval of research institutes and centers is a mechanism for the University to (1) address meaningful and complex issues of critical need and importance in a coordinated manner, (2) provide robust and impactful solutions and innovations to an extent not possible in the absence of the research institute or center, (3) be recognized for quality and impactful research contributions, and (4) advance the University's overall research reputation.

Research Institutes and Centers – University designated and approved research institutes and centers are organizational units with a primary mission of research having the following organizational attributes:
1. Active engagement of multiple researchers from a single discipline or department or from multiple disciplines, departments, colleges or schools, and/or divisions in disciplinary, multidisciplinary, or interdisciplinary research, scholarship, and/or creative activities;
2. Evidence of a sustained level of externally sponsored research activities over a reasonable period (e.g., approximately three years);
3. While having a primary mission in research, the research institute or center may include a complementary instructional and/or service mission that are secondary to its research mission; and
4. Administratively housed within and have a reporting line through an academic department, college or school, or division, including but not limited to the Division of Academic Affairs, the Macon and Joan Brock Virginia Health Sciences, the Division of Digital Transformation and Technology, and/or the Division of Research and Economic Development.

Enterprise Research Institutes and Centers – University designated and approved enterprise research institutes and centers are organizational units with a primary mission of research having the following attributes:
1. All aforementioned attributes associated with a university designated and approved research institute or center;
2. Active engagement of a significant number of researchers from multiple disciplines, departments, colleges or schools, and/or divisions in transdisciplinary research activities, transcending traditional disciplinary boundaries;
3. A demonstrated high level of sustained productivity, externally sponsored research expenditures, and broad scope of engagement over a reasonable period (e.g., three to five years); and
4. A continued record of being self-sustaining through externally sponsored research over a reasonable period (e.g., three to five years).

The Office of Enterprise Research and Innovation within the Division of Research and Economic Development has the responsibility for coordinating (a) the review of proposals for the creation of new research institutes and centers, and (b) the review the performance of existing research institutes and centers. All reviews will fully involve all parties included in the RIC or ERIC line of reporting, including the relevant VP(s).

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Only research institutes and centers that are approved in accordance with this policy may be referred to, directly or implied, as a research institute or research center. An official list of approved University-designated research institutes and centers and enterprise research institutes and centers is to be maintained by the Division of Research and Economic Development.

Research centers or institutes may not be formed as separate legal entities, including, without limitation, limited liability companies, charitable 501(c)(3) organizations, or other corporations without the expressed approval of the President.

F. **PROCEDURES**

F.1 Procedures for Proposing a New Research Institute or Center (RIC)

Faculty, departments, colleges, or divisions seeking to establish a university-designated RIC must submit a written proposal through the proposed RIC's line of reporting, including relevant vice president(s), to the Vice President for Research and Economic Development (VPRED). The proposal shall not exceed 10 pages, excluding appendices, and must address the following:

1. Purpose, Goals, and Metrics
   a. Have a clearly defined primary purpose related to the University's research mission.
   b. Articulate and address grand challenge(s) and provide solutions and innovations to an extent not possible in its absence.
   c. Be unique from existing or planned institutes and centers at ODU.
   d. Describe how faculty participation is determined both initially and over time and how the center will engage university researchers to grow research activities.

   e. Articulate its goals and describe how measurement, assessment, and documentation of the achievements of the goals will be achieved.
2. Budget and Resources
   a. Have an annual budget for the first three years of operation as a RIC showing projected source(s) of (i) internal funds, including funds from department(s), college(s)/school(s), division(s) and gifts, (ii) external funds, including federal, state, and private funds, and (iii) planned expenses.
   b. Have sufficient human and physical resources to achieve the proposed research institute or center's stated purpose at the time of development.
   c. Clearly demonstrate a plan and capacity to grow and sustain the proposed RIC's growth consistent with the expectations and attributes defined in this policy.
3. Organization and Leadership
   a. Have an identified director or a clear plan to identify one with sufficient qualifications and experience.
   b. Have an organizational chart depicting a clear reporting relationship to a department, college/school, division, and/or other appropriate unit.
   c. Provide all necessary letters of support and commitment including from leadership of units listed in the organizational chart.
   d. Have a structure that enables the proposed RIC to apply for and receive external funding such as grants and contracts consistent with the expectations defined in this policy.
   e. List any internal and/or external advisory boards, their role(s), and potential members. Such boards may not have financial, governing, or hiring authority.
4. Faculty Engagement

a. List initial faculty members who would be considered (i) "core" and (ii) "affiliated faculty."
   i. Initial core faculty members would be committed to the purpose, goals, and mission and have a history, individually or collectively, in securing externally sponsored research in support of the proposed RIC.
   ii. Initial affiliated faculty members would participate in the activities of the proposed institute or center, may or may not have a history of funding in support of the proposed RIC, yet bring expertise supportive of the purpose, goals, and mission of the proposed RIC.
b. Have a plan for engaging additional faculty members and expanding the participation in the proposed RIC, including external partners as appropriate.
c. Have a plan for the proposed institute or center to be self-supporting over a reasonable period (e.g., approximately three years) and for securing contracts and grants typically resulting in a high level of externally sponsored research expenditures associated with the proposed RIC's area of focus.

Additional information may be included. For example, it is also expected that a successful RIC may benefit, either directly or indirectly, graduate programs, public service, teaching, and the recognition and reputation of the University; however, these advantages are secondary to the main role as a RIC. Appendices may be included to provide additional supporting materials, such as letters of support. Proposals to establish a new RIC shall not exceed 10 pages, not including any appendices.

F.2 Procedures for Proposing a New Enterprise Research Institute or Center (ERIC)

An existing university designated and approved RIC that has demonstrated the ability to sustain a very high level of externally sponsored research, productivity, and broad engagement over an extended period (e.g., 5 years) may request designation as an ERIC. A written proposal must be prepared and submitted through the proposed ERIC's line of reporting, including relevant vice president(s), to the VPRED. The proposal should not exceed 15 pages, excluding appendices, and must address the following:
1. Purpose, Goals, and Metrics
   a. Have a clearly defined primary purpose related to the University's research mission."
   b. Articulate and address grand challenge(s) and provide solutions and innovations to an extent not possible in its absence.
   c. Engage a significant number of university researchers (typically at least 10) from multiple disciplines and university units in multidisciplinary or interdisciplinary research activities and describe how faculty are engaged in the strategic planning and advancement of the proposed ERIC.
   d. Articulate its goals and describe how measurement, assessment, and documentation of the achievements of the goals will be achieved.
2. Budget and Resources
   a. Have a historical three-year budget review showing source(s) of (i) internal funds, including funds from department(s), college(s)/schools(s), division(s) and gifts, (ii) external funds, including federal, state, and private funds, and (iii) actual expenses.
   b. Have an annual budget for the first three years of operation as an ERIC showing projected source(s) of (i) internal funds, including the sources of internal funds from department(s), college(s)/school(s), division(s), and gifts, (ii) growth of external funds, including federal, state and private funds, and (iii) planned expenses.

c. Have sufficient human and physical resources to achieve the proposed ERIC's stated future purpose and goals.
d. Clearly demonstrate a plan and capacity to grow and sustain the proposed ERIC's growth consistent with the expectations and attributes defined in this policy.

3. Organization and Leadership
   a. Have an identified director and a supporting leadership team.e.
   b. Have an organizational chart depicting a clear reporting relationship to a department, college/school, division, and/or other appropriate unit.
   c. Identify current and planned external partner institutes, centers, and/or other organizations. Such partners should strengthen the potential for success and growth supporting the continued designation as an ERIC.
   d. Provide all necessary letters of support and commitment including from leadership of units listed in the organizational chart.
   e. Have a structure that enables the proposed ERIC to apply for and receive significant external funding such as grants and contracts consistent with the expectations defined in this policy.
   f. List any current or proposed internal and/or external advisory boards, their role(s), and current or potential members. Such boards may not have financial, governing, or hiring authority.

4. Faculty Engagement
   a. List faculty members who are currently considered as (i) "core" and (ii) "affiliated faculty."
      i. Core faculty are committed to the purpose, goals, and mission and have a history, individually and collectively, in securing externally sponsored research in support of the proposed ERIC.
      ii. Affiliated faculty participate in the activities of the research institute or center, may or may not have a history of funding in support of the proposed ERIC, yet bring expertise supportive of the purpose, goals, and mission of the proposed ERIC.
   b. List, if appropriate, additional faculty who may consider engaging in the future as potential (i) "core" and (ii) "affiliated faculty" of the proposed ERIC.
   c. Have a documented history of the RIC being self-supporting over a reasonable period (e.g., a minimum of at least 3 years) and for securing contracts and grants typically resulting in a very high level of externally sponsored research expenditures typically associated with the proposed ERIC's area of focus.

Additional information may be included. For example, it is also expected that a successful ERIC may benefit, either directly or indirectly, graduate programs, public service, teaching, and the recognition and reputation of the University; however, these advantages are secondary to the main role as an ERIC. Although not required, an external evaluation of the proposed ERIC may be beneficial as part of the proposal preparation. If an external evaluation is conducted, the cost of the evaluation will be shared between the Division of Research and Economic Development and the proposer(s) and/or the administrative home of the proposed ERIC. Appendices may be included to provide additional supporting materials, such as letters of support, external evaluations, etc. Proposals to establish a new ERIC shall not exceed 15 pages, not including any appendices.

F.3 Procedures for Reviewing and Evaluating Proposals to Establish a Research Institute or Center (RIC) or an Enterprise Research Institute or Center (ERIC)

Upon submission of a proposal to create a new RIC or ERIC, the VPRED, in consultation with the Executive Vice President for Health Sciences, the Provost and Executive Vice President for Academic Affairs, and the Vice President for Digital Transformation., will convene an ad hoc Research Institute and Center Development Review Committee (RIC-DRC). The Associate Vice President for Enterprise Research and Innovation (AVPERI) will serve in an *ex officio* capacity of the RIC-DRC, which will be charged with reviewing the merit of a proposal in accordance with this policy. The review process will include the following:

1. A presentation by the proposer(s) overviewing the proposed new RIC or ERIC, including (a) purpose, goals, and metrics, (b) budget and resources, (c) organization and leadership, and (d) faculty engagement.
2. In addition to the RIC-DRC, members of the Faculty Research Advisory Committee (RAC), the division VP(s) of the proposed RIC or ERIC core faculty, assistant, and associate vice presidents of relevant divisions, and the VPRED shall be notified and may attend the presentation.
3. A report summarizing the RIC-DRC review shall be typically submitted to the AVPERI within three months, not to exceed six months, of the RIC-DRC being convened, and the AVPERI will provide the RIC-DRC report to the Faculty Research Advisory Committee (RAC) and the proposer(s).
4. The proposer(s) will provide the AVPERI with a written response to the report within three weeks of the proposer(s) being sent the report, and the AVPERI will provide the proposer(s) written response to the RIC-DRC and RAC.
5. The RAC, in consultation with the RIC-DRC and in consideration of the proposer(s) written response, will provide the AVPERI a final review of the proposed RIC or ERIC within three weeks of receiving the written response of the proposer(s). The final review may suggest changes to strengthen any aspect of the proposed RIC or ERIC. The AVPERI will provide a summary report, including a copy of the RAC final report, the RIC-DRC report, and the proposer(s) written response, to the VPRED and relevant division VP(s) of the proposed RIC of ERIC core faculty.
6. The VPRED and the relevant division VP(s) of the proposed RIC or ERIC core faculty will review the final report and make their recommendations to the President regarding the proposed RIC or ERIC. The recommendation may be (a) to establish the RIC or ERIC as proposed, (b) to establish the proposed RIC or ERIC with recommended and/or required changes, or (c) not to establish the proposed RIC or ERIC.
7. The President may approve, decline, request additional information, or other action at the President's discretion regarding the proposed RIC or ERIC based on the recommendations of the VPRED and the relevant division VP(s) of the proposed RIC or ERIC core faculty. Typically, the President will take action within one month of receiving the recommendations of the VP(s).
8. If a proposal to establish an existing university RIC as an ERIC is declined, the RIC may be approved to retain its designation and approval as a RIC.

F.4 Exception to the Defined Proposal, Review, and Approval Processes

The President, upon the recommendation of the VPRED and other relevant VPs, may designate a new RIC or ERIC as a provisional RIC or ERIC without going through the defined proposal, review, and approval process. This exception, which requires a proposal be submitted to the VPRED within one year, may be based on strategic importance or unique strategic opportunities. A one-year extension (two years total) for the proposal submission may be granted by the VPRED with a valid justification. A provisional designation is a one-time allowance and requires the provisional RIC or ERIC to submit annual reports and be recertified through the five-year evaluation process as described in this policy.

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F.5 Procedure for Reviewing and Evaluating an Existing Unapproved Research Institute or Center (RIC) or Enterprise Research Institute or Center (ERIC)

Only research institutes and centers that are approved in accordance with this policy may be referred to, directly or implied, as a RIC or ERIC. A pre-existing research center or institute that, as of the effective date of this policy, was formally approved under ODU's prior process defined in "Guidelines for the Establishment, Operations and Evaluation of Research Institutes and Center" or EVMS' prior process defined in "Procedures for the Establishment of Institutes and Centers" may continue to be referred to, directly or implied, as a RIC or ERIC under this policy. Hereafter, previously approved RICs and ERICs must operate in accordance with this policy.

A pre-existing research center or institute that, as of the effective date of this policy, had not been formally approved by the University may request provisional designation as a RIC or ERIC to retain its name and designation. The request must be submitted in writing through the RIC or ERIC's reporting line, including the relevant division VP, to the VPRED within three months of the effective date of this policy. A full proposal seeking approval as a university-designated RIC or ERIC must be submitted within one year of the effective date of this policy. An extension of up to one year may be granted upon request to the VPRED and other relevant VPs and with a valid justification.

F.6 Procedures for the Annual Reporting for Research Institutes and Centers (RICs) and Enterprise Research Institutes and Centers (ERICs)

Research institutes and centers, including enterprise research institutes and centers, must submit an annual report by March 15 each year covering its activities for the prior calendar year. The report is submitted through the line of reporting for the RIC or ERIC, including the relevant division VP(s), and then to the VPRED.

The annual report should be no more than 5 pages, excluding appendices, and include the following:
1. Summary (maximum 1 page)
   a. Purpose. Articulate and address significant research challenges addressed by the RIC or ERIC and its role in providing solutions and innovations to an extent not possible in its absence as required in by this policy.
   b. Resources. Demonstrate the RIC or ERIC has a robust plan and capacity to grow and sustain its growth consistent with the expectations defined in this policy.
   c. Organization. Summarize the structure that enables the RIC or ERIC to successfully compete for significant external funding, such as grants and contracts, consistent with the expectations defined in this policy.
2. Accomplishments and Goals (maximum 2 pages)
   a. List the top five accomplishments of the RIC or ERIC for the past year, including sponsored research activities, and why these accomplishments are important.
   b. List the top five goals of the RIC or ERIC for the year ahead, including sponsored research activities, strategies for attaining the goals, and the expected impact of achieving the goals.
3. Ideas and Recommendations (maximum 1 page)
   a. Share any ideas or recommendations which might be considered to support the success and growth of the RIC or ERIC.
4. Annual RIC Report Summary Form (maximum 1 page)
   a. Complete and include the Annual Report Summary Form available from the Division of Research and Economic Development.
5. Appendices

a. Annual Report(s) for the prior year(s) since being approved as a new RIC or ERIC or since the most recent five-year review of the RIC or ERIC.
b. Complete roster of active "core" and "affiliated" faculty researchers as defined in this policy, including their primary appointment and active sponsored projects on which they served as PI or co-PI.
c. Others at the discretion of the RIC or ERIC or at the request of a dean or VP.

The annual reports will be shared with the Faculty Research Advisory Committee, the relevant division VP(s) of the RIC or ERIC core faculty, and the DivRED associate vice presidents. The Associate Vice President for Enterprise Research and Innovation (AVPERI) will accept comments, including any concerns, from those receiving the annual reports. If any concerns are expressed, the AVPERI will provide a summary of the concerns to the VPRED and the relevant VP(s) and Deans, as appropriate. If the VPRED and the relevant division VP(s) consider any concerns to be significant, they may request a corrective action plan be developed by the RIC or ERIC to address the specific concerns for their approval. If a corrective action plan is developed and approved, it must be included in the following year's report along with progress towards addressing the specific concerns. If the specific concerns remain unresolved or inadequately addressed, the VPRED, in consultation with the relevant division VP(s) and Deans, as appropriate, may request the RIC or ERIC undergo a five-year review early to assess the operations and viability of the RIC or ERIC more fully.

F.7 Procedures for the Five-Year Review of Research Institutes and Centers (RICs) and Enterprise Research Institutes and Centers (ERICs)

Research institutes and centers, including enterprise research institutes and centers, must submit a comprehensive self-evaluation every five years for review and continued designation as a RIC or ERIC. The five-year self-evaluation is in lieu of the annual report for that year, must be submitted by March 15, and covers activities for the preceding five calendar years. The self-evaluation is submitted through the established line of reporting for the RIC or ERIC, including the relevant VP(s), and then to the VPRED.

The five-year self-evaluation should be no more than 10 pages, excluding appendices, and include the following:
1. Summary (maximum 2 pages)
    a. Purpose. Articulate and address significant research challenges addressed by the RIC or ERIC and its role in providing solutions and innovations to an extent not possible in its absence as required in by this policy.
    b. Resources. Demonstrate the RIC or ERIC has a robust plan and capacity to grow and sustain its growth consistent with the expectations defined in this policy.
    c. Organization. Summarize the structure that enables the RIC or ERIC to successfully compete for significant external funding, such as grants and contracts, consistent with the expectations defined in this policy.
2. Accomplishments and Goals (maximum 5 pages)
    a. List the top five accomplishments of the RIC or ERIC for the past five years, including sponsored research activities, patents, and faculty engagement, and why these accomplishments are important.
    b. List the top five goals of the RIC or ERIC for the next five years, including sponsored research activities, strategies for attaining the goals, and the expected impact of achieving the goals.
3. Ideas and Recommendations (maximum 1 page)
    a. Share any ideas or recommendations which might be considered to support the success and growth of the RIC or ERIC.

4. Annual RIC Report Summary Form (maximum 2 pages)
    a. Complete and include the Annual Report Summary Form available from the Division of Research and Economic Development.
5. Appendices
    a. Annual Reports for the prior years since being approved as a new RIC or ERIC or since the most recent five-year evaluation of the RIC or ERIC
    b. Complete roster of active "core" and "affiliated" faculty researchers as defined in this policy, including their primary appointment and active sponsored projects on which they served as PI or co-PI.
    c. Others at the discretion of the RIC or ERIC or at the request of a dean or VP.

While the principal objective of the five-year evaluation is to assess whether the RIC or ERIC is satisfying the criteria as outlined in this policy, the VPRED in consultation with those in the reporting line of the RIC or ERIC, including the relevant division VP(s), may ask for other factors to be addressed in the self-evaluation as well. Such factors would be addressed in an appendix.

The five-year self-evaluations will be shared with the Faculty Research Advisory Committee, the relevant division VP(s) of the RIC or ERIC core faculty, and the DivRED associate vice presidents. The Associate Vice President for Enterprise Research and Innovation (AVPERI) will request comments, including any concerns, from those receiving the annual reports, and the AVPERI will provide a summary review of all annual reports to the VPRED and relevant VP(s). If any concerns are noted in the AVPERI summary, the VPRED, in consultation with the relevant VP(s) and Deans, will request a response from the leadership of the RIC or ERIC and share the responses with the relevant division VP(s) and Deans of the RIC or ERIC core faculty. If concerns are significant, the VPRED, in consultation with the relevant VP(s), will request a corrective action plan be developed by the RIC or ERIC to address the specific concerns, which will be shared with the relevant division VP(s) and Deans of the RIC or ERIC core faculty for their approval. If a corrective action plan was developed and approved, it must be included in next year's report and include progress towards addressing the specific concerns. If the specific concerns remain unresolved or inadequately addressed, the VPRED, in consultation with the relevant VP(s) and Deans, may recommend initiating procedures to discontinue the RIC or ERIC.

F.8 Procedures to Discontinue a Research Institute or Center (RIC) or an Enterprise Research Institute and Center (ERIC)

Research institutes and centers, including enterprise research institutes and centers, must operate in accordance with this policy. If any concerns arise regarding the operations or viability of a RIC or ERIC through the annual report or five-year review process, and the concerns are not adequately addressed in the following year's report, the VPRED and the relevant division VP(s) of the RIC or ERIC core faculty may make a recommendation to the President regarding the discontinuance of a RIC or ERIC. The recommendation may include:
1. Placing the RIC or ERIC on a one-year probation, allowing it additional time to adequately address the continuing concerns. Probation may be considered if progress has been made to address continuing concerns, but the concerns have not been adequately or fully addressed.
2. Placing the RIC or ERIC on suspension for one additional year after a one-year probation. A suspension may be considered for a RIC or ERIC of key strategic importance to the University and would be allowed only if some progress had been made to address the identified concerns during the probationary period, but the viability of the RIC or ERIC remains in question.
3. Discontinuing the RIC or ERIC with all assets of the RIC or ERIC being retained by the administrative home of the RIC or ERIC. This action would be considered if the RIC or

ERIC does not meet the criteria of a RIC as defined in this policy and it is evident that the RIC or ERIC does not have a viable pathway to meet the criteria.

4. Removing the enterprise designation of an ERIC and allowing its continued operation as a university designated RIC either without restriction or on a one-year probation. This action may be considered if the research institute or center meets the criteria of a RIC but not the elevated criteria of an ERIC.

The President will consider the recommendations of the VPRED and relevant VP(s) and may elect any of the referenced actions or other action at the President's discretion. Typically, the President will take action within one month of receiving the recommendations of the VPRED and relevant VP(s).

G. COMPLIANCE

State how compliance with this policy will be monitored and what, if any, disciplinary action may be taken for noncompliance.

H. RECORDS RETENTION

Applicable records must be retained and then destroyed in accordance with the Commonwealth's Records Retention Schedules.

I. RESPONSIBLE OFFICER

Vice President for Research and Economic Development

J. RELATED INFORMATION

Any applicable policies, appendices and links that relate to the policy and help to implement the policy.

POLICY HISTORY
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Policy Formulation Committee (PFC) & Responsible Officer Approval to Proceed:

_____   _____
Responsible Officer   Date

Policy Review Committee (PRC) Approval to Proceed:

_____   _____

Chair, Policy Review Committee (PRC)   Date

Executive Policy Review Committee (EPRC) Approval to Proceed:

Responsible Oversight Executive   Date

University Counsel Approval to Proceed:

University Counsel   Date

Presidential Approval:

President   Date

Policy Revision Dates:

Scheduled Review Date: