

**Guidelines for Research Center and Institute (CI) Proposals and Periodic Progress Reports  
and Procedures for their Submission**

**August 14, 2024**

Directors, supervisors, and the CI Approvers specified in Section A. 1-5 of Policy 10.1.5 – Research Centers and Institutes, will be notified of any significant changes that are proposed to this document.

**Guidelines for Research Centers and Institutes (CI): Proposals to Establish a New CI**

A proposal for the creation of a new CI is submitted for approval to either a dean, chancellor, appropriate senior/executive vice president, the president, and/or the Board of Governors (BOG) in accordance with the classification of the CI based on level of approval and reporting relationship, as described in Policy Library Section 10.1.5 Paragraph 6. A. 1-5.

At a minimum, all items below (as appropriate) should be addressed in the proposal to establish a CI. Additional information may be requested as well by the CI Approver.

1. **CI Name.** The CI's proposed name should convey the CI's focus clearly, even to those outside the field. Per Policy 10.1.15 Section E., CI names should not overlap with those of existing departments, schools/colleges, CIs, or other units. If the proposed name is similar to that of another unit, a letter of endorsement from the existing unit with the similar name should be appended to the proposal.
2. **CI Director Name (if known), Title, Department, and School/College Affiliation(s).** Include the information for all founding members as well.
3. **Purpose and Mission.**
  - a. State the proposed purpose and mission of the new CI.
  - b. Identify the goals of this CI and why the goals of this CI could not be as successfully carried out in an existing department, school/college, or CI. The proposal should indicate why the proposed CI is not unreasonably duplicative of activities already performed elsewhere in the University.
  - c. Identify the ways in which the proposed CI will advance the goals and priorities of the University and/or the school/college or department, as applicable.
4. **Program Description.** Describe the planned research, teaching, outreach activities, public and/or private partnership programs of the CI, target audiences, and timeline for implementation.
5. **Current Activities.** Describe interdisciplinary research, teaching, and outreach collaborations already underway that provide a foundation on which to build the CI's activities.
6. **Opportunity/Justification.** Provide a justification and explanation of the need for creating the CI.

- a. Describe the combination of intellectual capital, research environment, and external factors that creates favorable conditions for the CI's success.
- b. Departmental centers are required to justify and explain why their purpose is distinct from that of the department.
- c. Describe any other benefits of the proposed CI. For example, will the proposed CI draw new kinds of talented faculty, staff, and/or students to Rutgers? Is the focal area critically important to the success of the University? Will it allow Rutgers to become the leading program in this area among peer institutions? Does it increase the potential for securing major grant funding? Does it impact on others beyond those participating in the initiative itself? Describe any possible impact on instruction or tuition revenue.

7. **Organizational Structure and Governance.**

- a. Describe the proposed organizational structure of the CI. The proposal should include a discussion of how the proposed CI will be classified. (See Policy Library Section 10.1.5 Paragraph 6. A. 1-5 for definitions.) It should include the organizational structure of the CI, and how the CI will fit into an existing school/college, department, CLU, or other organizational structure.
- b. If the CI is interdisciplinary, describe the management of the CI interactions among departments and schools/colleges.
- c. Describe how the CI's leadership will be identified and to whom its leadership will report.
- d. Describe the proposed responsibilities of the CI Director and the process for appointment, evaluation, and/or reappointment. For CIs that will be active in more than one school/college, the proposal must specify how the deans, and possibly chancellors, will coordinate responsibility for CI oversight and review. Ideally, a lead school/college will be specified. If the CI will operate such that there is no single lead dean, then the proposal should make the organizational structure and lines of responsibility very clear.
- e. Identify if there will be internal/external advisory boards? If so, provide information on the types/names of members you will recruit for participation and why you are selecting these individuals.
- f. Draft By-laws that include the above information should also be provided in your proposal.

8. **Operational Timeframe.** Describe the proposed schedule for moving forward with the establishment of the CI.

9. **Budget and Financial Support.**

- a. Include a budget for the CI that extends for the period of time that you are requesting CI approval (up to five years).
- b. If seeking renewal, provide a budget versus actuals report (e.g., the BOG Summary P&L) for the current year and previous fiscal year, isolating the OAA fund types.
- c. In your discussion of the budget, identify the CI's main funding source. If the identified support is lost, explain how new funding will be found. Please note whether state funds, particularly new state funds, will support the CI.
- d. Describe any public and/or private partnerships you already have in place (i.e. federal/state funding, corporate contracts, etc.), or the opportunities for public and/or private partnerships.
- e. Describe the role external partners will play in the proposed CI. Include a discussion of the contributions they will make and what benefits will be generated as a result of such partnerships.
- f. Identify other funding sources. Describe any anticipated financial support to be provided/shared with other Rutgers units, including participating faculty/staff salaries.

- g. If you have not already included financial information in your operational timeline, include a timeline of your plans for securing the requested financial commitment.
  - h. When faculty members who participate in a CI succeed in securing grants associated with the CI's mission and activities and the grants are to be implemented in the CI space, the grants will normally be administered by the CI. If grants will be utilized in the funding of the CI, describe how they will be administered. Any exceptions or additional grant funding agreements must be reviewed and approved by the person to whom the CI Approver.
10. **Staffing.**
- a. Identify faculty and staff who plan to participate in the CI's activities and the mechanism by which the participation of new members are solicited. Provide an initial list of participating faculty (include home academic department) and staff, and their expected roles and contributions.
  - b. Where the interests of CIs and departments intersect, clarify how activities of participants (faculty and staff) are allocated or credited among participants' various units, or to have procedures for engaging interested parties in discussion of this topic.
  - c. Identify how administrative support will be provided. If an existing campus unit or an academic department will provide such support, include this information in the appended letters of endorsement.
11. **Affiliated Membership.** Describe the policies and requirements for approving Rutgers and non-Rutgers affiliated members of the CI, including the responsibilities and benefits of affiliation.
12. **Space.**
- a. Identify where the CI's staff and activities will be housed. Include a description of how the space will be used, detailing space for clinical, technical, or research activities, administrative space, public space, storage, etc.
  - b. If there is a need for more space, describe plans to accommodate this need.
  - c. Identify whether the departmental/sponsoring unit and school/college facilities staff have been consulted. If an existing campus unit or an academic department will provide such space, include this information in the appended letters of endorsement.
  - d. Identify if the Office of Space Management has been consulted and informed of the space to be used by the CI.
13. **Other University Resources.** Describe any existing or new resource needs, including data, software, database subscriptions, library collections, etc., as well as any equipment needs associated with the proposed CI and how these needs will be met.
14. **Endorsements.**
- a. Include any endorsements of the proposed CI. This includes shared, similar, or overlapping interests, as well as shared resources. The proposal should provide evidence that all interested units are aware of plans for establishing the CI and were afforded an opportunity to comment on the proposal to establish the new entity. Any concerns should be addressed or accounted for in the final version of the proposal submitted for approval. Early communication may help in discovering individuals with similar interests and in fostering their participation.
  - b. Letters of endorsement may be appended to the proposal. Issues requiring an endorsement include the following circumstances:
    - i. The CI's function or organization overlaps the efforts of departments, schools/colleges, or other CIs at the University.

- ii. When the CI will draw on another unit's resources ("resources" include staff, courses, and space, as well as faculty time), those units should be asked to provide a letter of support for the endeavor, and in it, to articulate a shared understanding of their contribution to the CI.
- iii. Proposals should include written comments on the proposal, and endorsements from department chairs, deans, directors, and/or key faculty who will provide essential support for and who have an interest in the new CI.

**15. Evaluation of CI and CI Renewal Process.**

- a. Describe the proposed evaluation process and timeline for the Cumulative Progress Report for the CI. The process should reflect the size and breadth of the CI's activities. At minimum, a CI should be reviewed at least six months prior to the expiration of the CI approval, which is no more than 5 years. At any point in time a CI Approver may request a Periodic Progress Report.
- b. Explain the timeline for achievement of goals and expectations of accomplishment (these must involve clear outcomes and measurable impacts and they will serve as key elements in the review at the time renewal is considered). These include programmatic, fiscal, and organizational aspects of the proposed CI.
- c. The proposal must include specific "sunset" provisions appropriate to the CI being proposed, should it be closed.

**Procedures for the Submission of Proposals to Establish a New CI**

1. The CI Director will submit the proposal to the CI Approvers, in alignment with Policy 10.1.5.
2. In consultation with the proposed CI Director's supervisor, the CI Approvers will decide whether or not to allow the proposed CI to move forward and will notify the person proposing the CI of the decision (with copies to all appropriate deans, chancellors, provosts, vice presidents, etc.). If approved, the notification of approval will include the length of time for which the CI is approved (up to a 5-year term, and the criteria and conditions under which the CI will be evaluated for renewal).
3. If a CI proposal is approved, a copy of the proposal, with approvals (see 4. Below), must be sent to all appropriate deans, chancellors, provosts, and vice presidents, and to the Office of Academic Assessment and Accreditation, [evpaa-oaaa@rutgers.edu](mailto:evpaa-oaaa@rutgers.edu), for its records.
4. The appropriate academic administrator will issue a letter of approval for the center, along with terms for the duration of the center, expectations for periodic review (typically, annually), and conditions for continued support or sunseting.

**Periodic Progress Report**

At any time during the duration of a CI, upon the request of the CI approver, or based on the terms and conditions set forth in the approval (see 4. above), the CI Director will complete the review and Periodic Progress Report of the CI. This review and report may focus on a specific objective of the CI or may require a more comprehensive review. Upon request of a review and Periodic Progress Report, the CI Director will have 90 days to complete the request. The outcome of the review may result in the continuation or, when warranted, sunseting of the CI.

## **Cumulative Periodic Progress Report and Proposal for Renewal**

Six months prior to the renewal or expiration date of a CI as stipulated in the approval letter, the CI Director requesting renewal of the CI should submit to the CI Approvers a Cumulative Progress Report including the information listed above, which demonstrates how the CI has achieved the goals and met the expectations outlined in the initial proposal for the formation of the CI, and has satisfied the criteria and conditions for renewal given when the CI was initially approved or last renewed.

1. CI Directors will complete a Cumulative Progress Report six months prior to the sunset date, which is no more than five years after the initial approval or the last renewal of the CI.
2. Cumulative Progress Reports are required for all CIs (new and existing). Should this review process conflict with existing contracts or agreements, the CI Director should still submit to the CI Approvers a report for review, which will be evaluated in the context of the existing contracts/agreements.
3. The CI Director should submit the Cumulative Progress Report to the CI Approver, with a copy to the CI Director's supervisor, no later than six months before the specified CI sunset date.

## **Requirements for a Cumulative Progress and Proposal for Renewal Reports**

CI Cumulative Progress and Proposal for Renewal Reports should include, but not be limited to, the following information. Additional information may be requested by the CI Approver. For nationally designated CI's (e.g., the Rutgers Cancer Institute of New Jersey by the National Cancer Institute), the progress and designation renewal reports required by the national accrediting agency may serve as the Cumulative Progress Report, as appropriate, subject to the approval of the CI Approver, in consultation with the CI Director's supervisor.

1. **Progress.** Provide a review of progress toward the goals cited in the CI proposal document and any prior Periodic Progress Report(s).
2. **Quantitative Benchmarks.** (See Appendix 1.)
  - a. In a CI's Cumulative Progress Report, a listing of quantitative benchmarks should be accompanied by tables providing performance for the duration of the CI.
  - b. Financial Status. A year-end budget for the last 5 years, or length of approval, showing all sources of income (i.e. grants, service fees, membership fees, F&A return, etc.) and expenses.
3. **Publications.** A listing of publications that are a part of the CI's programs.
4. **Awards and Proposals.** A summary of the CI's research and other awards and proposals. (These data can be provided by the Office of Sponsored Research.)

5. **Public and Private Partnerships.** A summary of public and private partnerships; indicating any resources (both financial and intellectual) that these partnerships have generated.
6. **Continuation Plan.** If you are applying for renewal, identify for consideration any changes to the CI mission and goals, staffing, facilities, equipment requirements, and/or outcomes. This should also include revenue and expense projections for the proposed upcoming 5 years, or requested timeline of the CI.

### **Review of CI Cumulative Progress and Proposal for Renewal Reports**

1. The Office of the Executive Vice President for Academic Affairs will be responsible for monitoring the schedule of CI reviews to ensure that they are being carried out in accordance with the University Policy on Research Centers and Institutes.
2. Upon review of the Cumulative Progress Report, the CI Approver, in consultation with the CI Director's supervisor, has three options: (i) renew or sunset the CI without additional review; (ii) seek an internal review of the CI to provide additional information before deciding on the outcome; or (iii) request that the CI undergo an external review before making a decision.
3. After receiving all specified input, the CI Approver, in consultation with the CI Director's supervisor, makes a decision to renew or sunset the CI.
4. If the CI is renewed, the notification should include a justification for the renewal (including any internal or external review reports), any changes in mission, program or activities; funding, staff, or space; the length of time for which the CI is renewed (not more than five years); and the criteria, timeframe, and conditions under which the CI will next be evaluated for renewal.
5. If the CI is not renewed, the sunsetting must consider contractual obligations and employment agreements with faculty and staff. As such, sunsetting of a CI requires a plan to reorganize human resources, institutional and external funding, and infrastructure issues within the organizational framework of the University. This plan must be spelled out in the sunsetting notification to the CI Director, along with a justification for the action being taken (including any internal or external review reports).
6. In the case of Board of Governors-level CIs, the BOG should be sent a notice of renewal or sunset request for their approval.
7. Once a final decision is made, the CI Approver will notify the CI Director of the outcome of the review, with copies to the CI Director's supervisor and all appropriate deans, chancellors, provosts, and vice presidents, and to the Office of Academic Assessment and Accreditation, [evpaa-oaaa@rutgers.edu](mailto:evpaa-oaaa@rutgers.edu), for its records.