These guidelines are designed to provide a framework for the establishment and review of research institutes and centers that supports their desired functions and financial sustainability.

INITIATE, CHANGE OR SUNSET OF RESEARCH CENTERS/INSTITUTES

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PREAMBLE

These guidelines are designed to provide a framework for the establishment and review of research institutes and centers that supports their desired functions while promoting financial sustainability. It is understood that each institute or center must have a clearly defined mission that supports the major research strategic objectives and core academic mission of the school/college/university, and adds value to the same. It is also agreed that the mission and activities of the research institute or center should not duplicate those accomplished by an existing entity within the school/college and university, and that proposed new centers/institutes be reviewed in the context of other activities that are ongoing within the university to ensure that the university's overall effort in a given field of inquiry is strengthened. A research institute or center should not be formed except in circumstances in which multiple faculty members plan to be seriously involved in the work of the research institute or center. The research institute or center's viability does not depend on the work of a single faculty member. Finally, it is agreed that research institutes and centers differ from academic centers in that they do not own or oversee degree or certificate programs.

DEFINITIONS AND FUNCTIONS

1. Research Institute

For the purposes of these guidelines a research institute is defined as a single or multi-disciplinary (faculty of two or more academic departments/programs of a school/college) unit within Drexel University which is organized primarily to conduct research scholarship and creative activities. As such they differ from academic centers in that they do not own or oversee degree or certificate programs. A research institute may live at the university level in the organizational hierarchy and may have either a single line of reporting to the appropriate dean (or) a dual line of reporting (Office of the Provost and an appropriate dean/chair or council of deans from impacted schools and colleges).

At Drexel, it is expected that "Research Institutes" exhibit the following characteristics or attributes:

− Research program that is independent of a single faculty member, ideally based on the collective scholarship and productivity of at least five faculty members.
− Organizational stability
    o a dedicated administrative staff
    o commitments from faculty (FTEs) members
    o a program of research training

  − Financial stability
    o Funding derived from multiple external sources rather than a single source (e.g., one grant).
    o Substantial external funding of at minimum $1 million per year (exceptions by discipline may be made).
    o Organized fundraising including grant prospecting pipeline
  − Research productivity to include but not limited to grants, awards, publications, scholarly outputs etc.

Directors of research institutes based within a single school/college report to the dean or department chair, although the dean and/or chair may recommend an alternative reporting structure.

Directors of interdisciplinary institutes in which multiple schools/colleges are involved, and for which substantial central resources (matching central funds) are committed, will have a dual line of reporting (Office of the Provost and an appropriate dean/chair or council of deans from impacted schools and colleges).

2. Research Center

For the purposes of these guidelines a research center is defined a single or multi-disciplinary unit (faculty of two or more academic departments/programs of a school/college) within Drexel University which is organized to conduct research around a specific theme or topic, and may have some involvement in training undergraduate, graduate, and/or post-docs. The establishment of a center in a selected field does not alter the primary responsibility of academic departments and its program to foster the scholarly work and teaching of their faculty. As such they differ from academic centers in that they do not own or oversee degree or certificate programs. At Drexel, it is expected that "Research Centers" exhibit the following characteristics or attributes:

  − Less autonomy and less independence relative to institutes
  − A narrower scope of research interests relative to institutes
  − Can include educational, community outreach or clinical/professional services aligned to the scope of the research interests
  − The center's lifetime is often limited by the time and financial commitment to completing a particular project. However, the research center's viability does not depend on the work of a single faculty member.
  − Centers are expected to strengthen and expand the research and teaching of the academic departments aligned to the work of the center
  − Centers are typically located within departments, schools/colleges or institutes
  − Center directors typically report to chairs, deans and/or institute directors. However, deans and/or chairs may recommend an alternative reporting structure such as a committee or advisory board

- Advisory board consisting of multiple chairs or directors from participating departments or programs
- Directors of interdisciplinary centers in which multiple schools/colleges are involved generally report to the dean of the school/college in which the center director has primary appointment.

3. **Collaborative Research/Team Science (Multi-Investigator/Multi-Disciplinary Research Teams)**

   Research teams may reside within a single department and have multiple investigators, they may be more complex and straddle multiple departments, or they involve multiple schools and colleges thus being multi-investigator and multi-disciplinary.

   Regardless of the composition of the research team, they are all characterized by a shared goal with a team approach. These teams reach beyond the traditional department structure, creating productive ties between departments, schools, colleges and other universities. Such ties reduce isolation and enhance scholarly pursuits in both research and education. A balance must be achieved between multi-disciplinary team efforts and department-focused efforts for the benefit of all involved.

4. **Single Investigator**

   In cases where there is a single investigator interested in naming their scholarly activities, the terms "center" or "institute" may not be used. Rather, it is preferred that the naming convention be used, for example, "….the Jim Smith Laboratory for Computer-Aided Design."
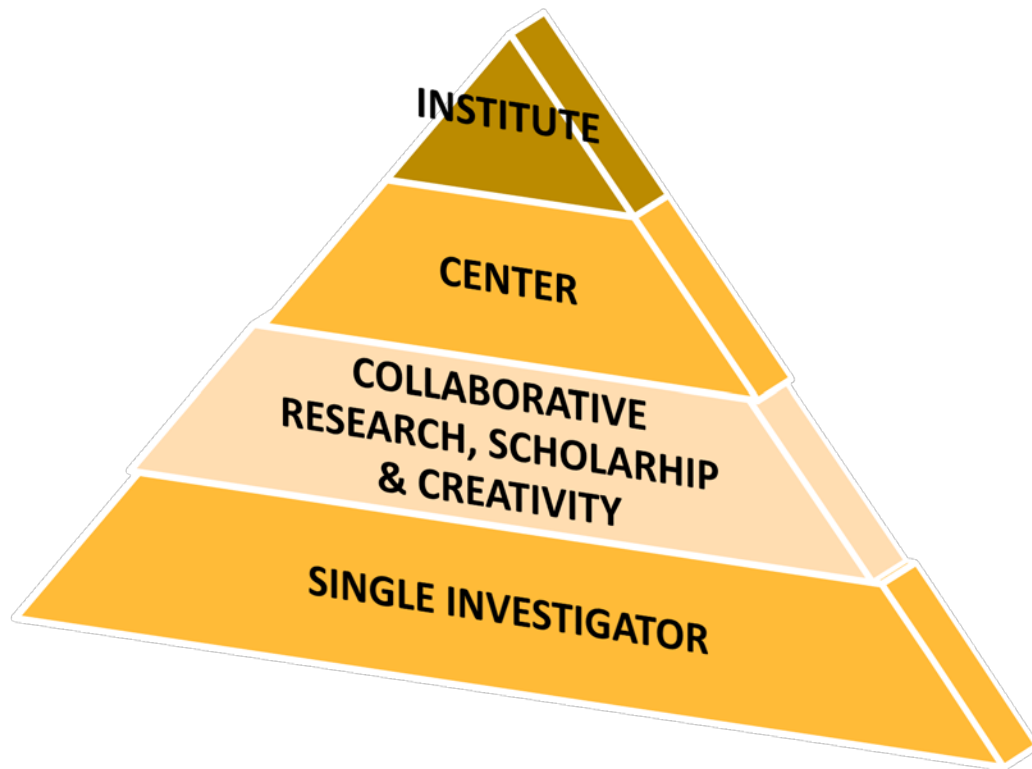
FUNCTIONAL DEFINITIONS

Director (Research Center or Research Institute)

− The director is appointed/approved by and shall be accountable to the dean or dean's designee. In special circumstances, a director of a research institute may have a dual line of reporting (Office of the Provost and an appropriate dean/chair or council of deans from impacted schools and colleges).
− The director is charged with the planning, implementation, coordination and management of the programs and activities of the research institute/center.
  o Develop a skill set for supervising, mentoring and training support staff
− Sufficient funds shall be provided by the school/college to support the administrative and academic infrastructure of the research institute/center. It is expected that all remaining funds for the research institute/center shall be generated from extramural sources.
− As head of a budgetary unit, the director has the authority and responsibility equivalent to that of a department chair.
− The director shall present a written annual progress report to the dean and the Office of the Provost.

Members (Research Institute or Research Center)

− All members of a research institute/center (including the director) must hold a faculty rank in the University and are subject to the authority of the director and related department chairs for all matters related to faculty appointments, promotions, and tenure.
− Academic promotion of institute/center members will be made on the basis of the usual institutional criteria and in accord with the usual procedures of departments and Colleges/Schools. Recommendation for academic promotion of center members may be initiated by the director or their department chairs.
− Faculty members of other universities may, in some cases, function as associate members of an institute/center.

GOVERNANCE

Advisory Board

In the case of research centers/institutes based in a single school or college, the dean/dean's designee in concert with the PI/director, will appoint an advisory board. The advisory board shall consist of members of the faculty of the school/college as well as additional authorities who may be both internal and external to the university.

Research institutes at the university level which report to the Office of the Provost will also appoint an advisory board. The advisory board shall consist of members of the faculty of the school/college

as well as additional authorities, in consultation with central leadership, who may be both internal and external to the university. Advisory board members may or may not have specific discipline knowledge.

Advisory board shall:
− Advise the research institute/center director regarding research goals and objectives of the institute/center.
− Assess the adequacy and appropriateness of resources and staff necessary for the successful operation of the research institute/center.
− Evaluate the research strengths and progress towards goals.
− Evaluate sources and uses operational effectiveness, research effectiveness, visibility and impact on an annual basis.
− The following are examples of possible metrics:
    o **Sources and Uses**
        ▪ Revenue raised / Administrative cost
        ▪ Total space (square footage)
        ▪ Infrastructure / Equipment (invested capital)
        ▪ Fund balances
    o **Operational Effectiveness**
        ▪ Total FTEs, Staff FTEs
        ▪ Administrative structure with titles
        ▪ Administrative Costs / Total Costs
        ▪ Shared Staff FTE's
    o **Research Effectiveness**
        ▪ Grants awarded / Grants submitted
        ▪ Publications per year
    o **Visibility & Impact**
        ▪ Mention of unit in media
        ▪ Faculty recruitment
        ▪ Program ranking
        ▪ Number of units participating
− If required by the sponsor, help to ensure that the institute/center is in compliance with the award terms and conditions
− The research center/institute director is responsible for preparing any and all materials/reports for the advisory board

Deans/Department Chairs

The responsible dean, acting in consultation as appropriate with other deans and/or university administrators, shall review each center/institute's activities **annually** including its financial management and compliance with university policies, and shall report the results of that review to the research center/institute director and to the Office of the Provost by August 31 of each year.

Vice Provost for Research

The Vice Provost for Research shall deliver to the Provost and Board Sub-Committee on Academic Affairs by October 31 of each year a summary report dealing with the activities of all research centers and research institutes during the preceding year.

Central Financial Support/Matching Funds

Direct financial contributions and/or salary cost-sharing are provided only in clear instances where the research institute/center includes multiple faculty from different departments and schools/colleges <u>and</u> is required by a funding agency, or necessary to be competitively successful.

Department chair/dean(s) may assist with determining whether a proposal meets the requirements for receiving cost-share funding.

Matching funds requests to the Office of the Provost should illustrate how the proposed center/institute addresses the following criteria:

− Is the proposed center/institute one of high-impact, reputation enhancing, potentially transformational to a field or discipline at the national or international level?
− Does the proposed center/institute represent an important emerging field of inquiry?
− Does the proposed center/institute crosses traditional disciplinary boundaries (multiple schools/colleges, e.g., DARE) with broad impact at Drexel?
− Will the proposed center/institute potentially transform a critical research area at Drexel?
− Will the proposed center/institute seed a new effort with strong potential to excel at Drexel?
− Does the proposed center/institute integrate research and education (facilitates classroom instruction, graduate research training, and community outreach/engagement)?
− Does the proposed center/institute create new opportunities, with the likelihood of fostering additional research opportunities and external funding?
− Does the proposed center/institute align with the strategic direction of the school/college/university?
− Does the proposed center/institute fill a need not already met by other entities in the school/college/university?
− Does the proposed center/institute have a strategy for external support (philanthropy or sponsored activity)?
− Does the proposed center/institute include faculty from more than one school/college and have an agreed upon governance model?

Typically, 50% of the overall match must be funded by the department/college/school of the PI and participating faculty. **[Templates will be developed and provided for this purpose]**

Proposals involving key investigators from several departments require match from each department and college represented totaling 50% combined.

Proposals without department/college support will not be considered.

CENTERS/INSTITUTES PROCESS
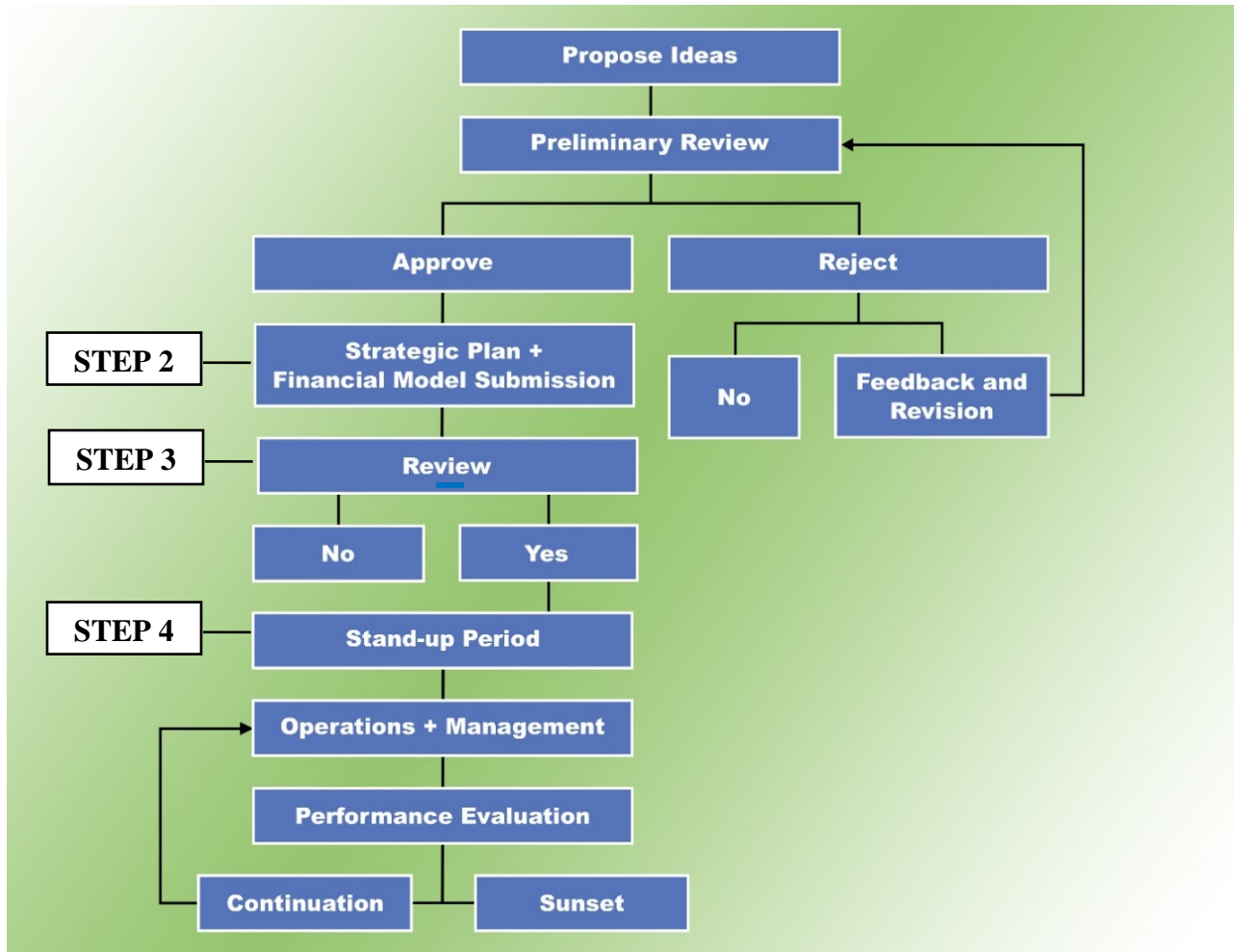
Step 1: Propose Ideas and Preliminary Review (NEW research centers/institutes)

The designated director(s) of the research institute/center should provide a narrative summary and a summary budget to both the Office of the Provost and the dean(s) of the school(s)/college(s) represented.

The narrative summary should include: [**Templates 1A – Pre-Proposal Narrative**]

Vision

‒ What are the central intellectual challenges and research needs that the institute/center is addressing now and over the next 5-10 years?
‒ Who are the stakeholders for the research institute/center both internal and external?

Mission and Goals

- What is the mission of the research institute/center and how does it contribute to the mission of the university?
- What are the peer and aspirant programs for the research institute/center at other institutions?
- What are the goals for the next five years?
- How does the research institute/center contribute to the university's strategic plan and to the plans of the department(s)/school(s)/college(s) involved?

Anticipated Activities and Accomplishments

- How many faculty and students do you expect to be engaged in research institute/center activities?
- Describe the planned activities of the institute/center and be specific (e.g., publications, patents, tech transfer, collaborations/partnerships, awards, multicultural/diversity activities, community/civic engagement)
- Describe the intended scope and impact of the research institute/center both within the Drexel community and externally (local, national, global)

Funding and Resources

- Describe and provide evidence of adequate external financial resources for stand-up and/or continued operation of the research institute/center
- Describe how university resources will be leveraged
- Describe the current secured external funding that will support the research institute/center research and operation
- What is the plan for sustainability moving forward over the next year? In three years? In five years?
- Have you been provided new space or will you use existing space for this research institute/center? Please include letters of acknowledgement for new space allocations.
- For interdisciplinary research institutes and centers and collaborative team research, describe how the credit allocation recognition of the investigators and departments as well as indirect cost allocations among investigators and their departments/colleges/schools be distributed

The budget summary should include: **[Template 1B – Pre-Proposal Budget]**

- Revenues by source for the current and subsequent two years (three years total) and must be annually updated.
    o University funds (be specific)
    o Grants and contracts
    o Endowments
    o Private contributions
    o Other (be specific)

Expenses by source for current and subsequent two years (three years total):

- o Faculty salaries/benefits (including release time)
- o Staff salaries/benefits
- o Graduate stipends/benefits
- o Undergraduate support
- o Post-doctoral salaries/benefits
- o Events (e.g., meetings, symposia)
- o Travel
- o Other (be specific)

Step 2:Strategic Plan and Financial Model

The designated director(s) of the research institute/center should provide a narrative full proposal narrative and full budget to both the Office of the Provost and the dean(s) of the school(s)/college(s) represented.

The proposal narrative should include: [**Templates 2 – Full Proposal and Full Budget (contact fundingportal@drexel.edu for Budget template)]**

- − What is the mission statement for this entity?
- − What is the proposed name for this entity and does it relate and support the mission?
- − Rationale & Justification:
    - o State the need(s) you believe this research institute or center will meet.
    - o Is it possible to address the mission and need(s) inside existing programs?
    - o How do the objectives and the intended outcomes of the research center/institute align with the mission and strategic plan of the university?
- − Potential Impact
    - o How might the research center/institute influence others beyond those participating in the initiative itself?
    - o How might this research center/institute improve Drexel's national and/or international position in research?
    - o How might this research center/institute enhance opportunities for students and post-doc participation in research?
    - o How might this research center/institute build university-wide capacity for use-inspired translational research, technology transfer and economic development?
    - o How might this research center/institute enhance community engagement?
- − Approach to Innovation
- − Proposed Organizational Structure
    - o Name of the director/interim director
    - o Proposed responsibilities of the director
    - o Proposed reassigned time or other compensation to serve as director
    - o Function(s) and composition of the advisory board (committee/board)
        - ▪ Individuals external to the university

 − Academic Team and Industry Partners
   o Composition of faculty associated with the center/institute and their respective roles in supporting the research center/institute mission, goals and objectives
 − Scholarly Goals
   o Anticipated scholarly outputs
   o Assessment metrics
 − Budget Justification (projected costs and revenue)
   o Expected budget for the first year of operation
   o External funding sources
   o One-time costs
   o Recurring costs
   o Existing or new equipment, space and facilities needed to establish the center
   o Existing or new personnel needed to operate the center (including any requests for faculty reassigned time)
 − Plan for Long-Term Sustainability
   o How will the research center/institute successfully raise external funds to support itself
   o How might the research center/institute identify and capitalize upon new external avenues of funding
   o What may be the significant obstacles to greater achievement of this research center/institute and how might you address them
   o How will the research center/institute draw new kinds of exceptionally talented faculty and students
   o How will it lead to new curricular development
   o How will this research center/institute strengthen the Drexel "brand" and reputation

Step 3:Proposal Review and Award

Proposal Review

 − Evaluation Criteria **[Template 3 – Proposal Evaluation Criteria]**
   o Research focus, mission, history and alignment with mission/vision/research and innovation strategy of Drexel and how it fosters collaborative team research
   o Summary of accomplishments/goals
   o Evaluation with respect to research, teaching and impact
   o Evaluation of space
   o Fiscal evaluation and outlook
 − Review Team
   o Office of the Provost
   o Dean and/or chair of PI and participating faculty
   o Faculty Senate Committee on Research, Scholarship and Creative Activities

– Determination
  o Summary of the recommendations
  o Award, Award with Revisions, Reject

Proposal Award [Templates 4 – Draft Award Letter]

– Notification of Award
– Announcement of Award to university community
– Work with University Communication to publicize the new research center/institute
– Signed formal agreement **[Template 5 – Initiation Agreement]** between the parties which indicates such features as for example:
  o Expected output
  o Timeline
  o Budget share [if needed]

Step 4:Standing Up the Research Center/Institute

First three months post award:

– Develop stand up timeline based on the strategic plan
  o Tasks to be influenced by sponsor(s) requirements
  o Tasks and milestones will be determined by time and available resources
  o Funding ramp-up
  o Lead time to develop the team and become productive

– Develop a communication plan
  o Key contact will be responsible for overseeing communication strategy that includes discussion of research directions, staffing, budgetary constraints and upcoming issues/concerns
  o Plan should include internal team communication and campus/external communication
    ▪ Set-up/manage website to create a place for knowledge to be shared, discussions to be held, events to be coordinated and information disseminated internally/externally [http://drexel.edu/identity/web/website-management/design-standards/global/]
    ▪ Develop/disseminate newsletters and other publications
    ▪ Promote internal communication
    ▪ Schedule/lead standing center meetings (in-person/virtual)
    ▪ Development/submission of required reports, renewal proposals, etc.

– Intellectual Property (IP) management plan
  o The research center/institute director should get buy-in from all academic research investigators and industry participants at all stages of the planning process

- o An intellectual property management plan should be submitted that outlines how intellectual property will be managed in the research center/institute and that the plan is aligned with Drexel's official IP Policy
  - o The Intellectual Property Policy Advisory Committee ("IPPAC") composed of faculty members, including Faculty Senate representatives, and relevant administrators appointed by the Provost is available to provide advice on the policy and its implementation.
  - o IPPAC will be engaged to assist in attempting to resolve any disagreements or disputes pursuant to the IP policy

- Benchmarking, evaluation and assessment plan **[Template 6 – Benchmarking, Evaluation & Assessment Plan]**
  - o Set and develop goals (part of strategic planning process in Step 2)
  - o Set milestones and track their progress
  - o Develop metrics for measuring success
  - o Report on activities including outcomes and impacts
  - o Provide transparency and accountability to leadership and stakeholders
  - o Ongoing process of evaluation which includes funding and budgetary allocation
  - o Regular and systematic benchmarking of similar teams nationally and internationally including rankings that will help indicate the relative position of the team

Step 5: Operations and Management

Operations and Management

Administrative Support

- Administrative Coordinator (Director of Research Administration, Department Research Administrator, Center Research Administrator)
  - o Support provided by unit administrative staff
    - Larger team may need to hire full-time, dedicated and skilled staff
    - 10 investigators to 1 fiscal/administrative (depending on size/complexity)
  - o Rule of thumb: 10-15% of the direct costs
    - Paid through indirect cost returns or through direct cost charges on grants that allow administrative support
    - Negotiate with department chair/dean for an equitable return on indirect costs or equivalent in-kind support early in the process of establishing the center and its funding sources
  - o As per signed agreement, multi-investigator/multi-disciplinary teams must develop a process for managing differences in how things are done within the units to address any conflicts (processes, policies, finances, cultures) at time of agreement

Financial Oversight

- Fiscal Support (Business Manager/Financial Administrator/Financial Specialist)
  - Grant experience to assist in budget, write new grants (budget/cost proposal) and handle day-to-day financial management
  - Fiscal duties:
    - Establish budgets
    - Oversee funds allocation including competitively awarded seed funds, fellowships, etc.
    - Establish a schedule of regular budget projections to ensure that expenditures are properly monitored and within budget
    - Oversee reporting, including awards and expenditure totals, including types of award, five-year budget comparison, budget projections, and assist with gathering and reporting on metrics
  - Fiscal considerations:
    - Dividing indirect cost returns between primary unit and partnering unit(s)
    - Determining how rewards are given to the unit that houses the team
    - Deciding how to reduce disincentives for department participation
    - Providing flexible funds to the team for administrative support

- For multi-investigator/multi-disciplinary teams, the administrative home generally resides in the department of primary appointment. With research centers/institutes, fiscal rules and procedures of each of the team member departments/schools/college should be taken into account. Everyone needs to be clear and on same page with regard to discretionary funding and spending. This is especially true if sponsor funds have specific budgetary restrictions and regulations.

Other Potential Staff Positions

Depending on the size of the grant/available funds, research project, number of collaborators, and sponsor requirements, additional position may be desirable and necessary, including but not limited to:

- Project manager
- Outreach/Business development coordinator
- Communications coordinator
- Education/training coordinator

Personnel Considerations

- Development of a positive environment for staff that includes appreciation, responsibility and the availability and provision of funds for training
- Ability to deal with HR problems in a professional manner and engaging HR department staff when needed

− Development of a plan for systematic annual performance evaluations including accomplishments to date and goals for the following year

Step 6: Performance Evaluation

To document progress towards goals, the research center/institute's performance will be reviewed annually. The research center/institute will operate for a period of three years with the possibility of renewal based on a satisfactory performance review.

Annual

− Annual Report
   o List of scholarship/creative activity, service and/or instructional activities undertaken through the center/institute
− Discussion of role and performance of direct revenue and expense analysis
   o Proposed plan for the upcoming year
− Annual Internal Performance Review
   o Evaluation of research centers/institutes (aligned with PAR) **[Template 7 – Annual Performance Evaluation]**
   o Summary of research/scholarship/creative activity, service and/or instructional activities undertaken through the center/institute **[Template 8 – Annual Summary of Research, Scholarship & Creative Activities]**
   o Annual/cumulative trend data of revenue and expenses SWOT analysis **[Template 9 – Revenue & Expenses SWOT Analysis]**
   o Proposal for any needed revisions to the original proposal for the research center/institute
   o Revision of vision, mission or overall function OR result of annual performance evaluation
   o Submit proposal/reapplication (Step 2) Proposal Review (Step 3)
   o Proposal Accepted/Denied

Three Year Report
   o This will be an aggregation of annual reports for Years 1, 2 and 3.
   o Includes a revised/updated strategic plan for the next three years **[Template 2A/B]**

Step 7: Review and Sunset

Considerations that may lead to sunset a research center/institute include:
   − Can no longer sustain itself financially either by external or internal funds
   − Scholarly quality of work performed by the team falls below Drexel norms as determined by the annual performance evaluation
   − The original interdisciplinary nature of the team has disappeared or has been absorbed into the mainstream of the discipline
   − Team is unable to attract new faculty, students or dedicated leadership

Determination to sunset

- Meet with Review Team (same as in Step 3)
    o Recommendation to discontinue research center/institute

Sunset may include:

- Transfer, intact, from research center/institute to new home within school/college
    o Re-establishing within a college/school
- Redistribution of center resources and transfer some or all of those assets to other departments/schools/colleges
- Spin-off as an entity separate from the university
- Liquidation of all resources with return of assets to original stakeholders

Sunset Administrative Close Out

- Completion of remaining grant/contract obligations
- Follow Drexel's project closeout guidelines/procedures for sponsored projects, compliance closeout such as IRB, IACUC and IBC, and university accounting
- Bridging support for students/post-docs appointed on the team
- IT transitions including website, databases, servers, IRB/clinical patient secure data
- Transitioning dislocated staff
- Assisting in placement, relocation, outsource activities for affected staff
- Covering tenure obligations to academic faculty partially appointed to the center
- Decommissioning facilities, especially specialized laboratories
- Transferring facilities and space back to original stakeholders

RESEARCH CENTERS/INSTITUTES

TEMPLATES

TEMPLATE 1A   RESEARCH CENTERS/INSTITUTES PRE-PROPOSAL NARRATIVE

TEMPLATE 1B   CENTER/ INSTITUTE PRE-PROPOSAL BUDGET WORKBOOK

TEMPLATE 2A   RESEARCH CENTERS/INSTITUTES PROPOSAL NARRATIVE

TEMPLATE 2B   CENTER/ INSTITUTE FULL PROPOSAL BUDGET WORKBOOK/INSTRUCTIONS

TEMPLATE 3   PROPOSAL EVALUATION CRITERIA

TEMPLATE 4   DRAFT AWARD LETTER

TEMPLATE 5   INITIATION AGREEMENT FOR RESEARCH CENTER/INSTITUTE

TEMPLATE 6   BENCHMARKING, EVALUATION & ASSESSMENT PLAN

TEMPLATE 7   ANNUAL PERFORMANCE ASSESSMENT

TEMPLATE 8   SUMMARY OF SCHOLARSHIP, CREATIVE ACTIVITY, SERVICE AND INSTRUCTIONAL ACTIVITIES

TEMPLATE 9   REVENUE & EXPENSES SWOT ANALYSIS

TEMPLATE 1A - RESEARCH CENTERS/INSTITUTES PRE-PROPOSAL NARRATIVE

Pre-Proposal Submission Instructions:
– Research Centers/Institutes Proposal template
– Principal Investigator's (PI's) name and departmental affiliation
– Co-PI's names and departmental affiliation
– A list of possible participating organizations (if applicable)
– Proposal Title
– Research Keywords

Formatting Guidelines and Page Limit:
– Font/size: Arial, Georgia, Helvetica, Palatino Linotype, Times New Roman (11 pt.)
– Document margins: 0.5" (top, bottom, left and right)
– Standard paper size (8 ½" x 11)
– Header: include proposal/project title
– Footer: include page numbers

When completing your electronic application on the Drexel University Funding Portal, please be sure to upload your proposal documents in PDF format in the 'Requirements' section of the application under 'Uploading Supporting Documentation.' Upload 1 is the Proposal, Upload 2 is the CV/Biosketches, Upload 3 is Preliminary Budget.

Proposals will be reviewed using merit review criteria for the corresponding sections listed in the pre-proposal template.

It is the responsibility of all applicants to ensure that required documents have been received in their entirety by uploading the documents.

PROPOSED NAME OF CENTER/INSTITUTE:

CENTER/INSTITUTE TEAM LEAD(S):

Role	Name	Department	College	Email
PI	*Jane Shah*	*Surgery*	*Medicine*	*Jane1234@drexel.edu*

RESEARCH KEYWORDS *(min. 5):*

PROJECT DESCRIPTION/SUMMARY: (5 page limit)

Vision

1. What are the central intellectual challenges and research needs that the institute/center is addressing now and over the next 5-10 years?
2. Who are the stakeholders for the institute/center both internal and external?

Mission and Goals

1. What is the mission of the institute/center and how does it contribute to the mission of the university?
2. What are the peer and aspirant programs for the institute/center at other institutions?
3. What are the goals for the next five years?
4. How does the institute/center contribute to the university's strategic plan and to the plans of the department(s)/school(s)/college(s) involved?

Anticipated Activities and Accomplishments

1. How many faculty and students do you expect to be engaged in institute/center activities?
2. Describe the planned activities of the institute/center and be specific (e.g., publications, patents, tech transfer, collaborations/partnerships, awards, multicultural/diversity activities, community/civic engagement)
3. Describe the intended scope and impact of the institute/center both within the Drexel community and externally (local, national, global)

Funding and Resources

1. Describe and provide evidence of adequate external financial resources for stand-up and/or continued operation of the institute/center
2. Describe how university resources will be leveraged
3. Describe the current secured external funding that will support the institute/center research and operation
4. What is the plan for sustainability moving forward over the next year? In three years? In five years?
5. Have you been provided new space or will you use existing space for this institute/center? Please include letters of acknowledgement for new space allocations.
6. For interdisciplinary institutes and centers and collaborative team research, describe how the credit allocation recognition of the investigators and departments as well as indirect cost allocations among investigators and their departments/colleges be distributed

INITIATE, CHANGE OR SUNSET OF RESEARCH CENTERS/INSTITUTES

TEMPLATE 1B - CENTER/ INSTITUTE PRE-PROPOSAL BUDGET WORKBOOK

Please contact fundingportal@drexel.edu for a fillable copy of the full proposal Budget Template for new centers/institutes.

Pre-proposal_Centers_Institute_Preliminary Budget - TEMPLATE							
Notes: Per diem rates should be based on GSA figures.					**Link to GSA Website**		
*Colored cells contain formulas - no not enter data							
*No faculty salary funds can be requested - must be cost share only							
It is the responsibility of the applicant to ascertain costs for all items used in budget proposals by working with department administrators or senior faculty members.							

Category	Item	TOTAL SALARY/ HOURLY RATE	EFFORT MONTHS OR HOURS	TOTAL COST PER PERSONNEL	FUNDING REQUEST	COST SHARE FUNDING	FINALIZED TOTAL COSTS
PERSONNEL - FACULTY						$ -	$ -
						$ -	$ -
						$ -	$ -
PERSONNEL - STAFF & FELLOWS							$ -
							$ -
							$ -
							$ -
PERSONNEL - STUDENTS							$ -
							$ -
							$ -
							$ -
FRINGE	Faculty			$ -		$ -	$ -
	Staff & Fellows			$ -			$ -

Category	Item	NUMBER OF ITEMS	COST PER ITEM	TOTAL COST	FUNDING REQUEST	COST SHARE FUNDING	FINALIZED TOTAL COSTS
SUPPLIES				$ -			$ -
				$ -			$ -
				$ -			$ -
				$ -			$ -
				$ -			$ -
EQUIPMENT				$ -			$ -
				$ -			$ -
OTHER DIRECT COSTS				$ -			$ -
				$ -			$ -
				$ -			$ -
				$ -			$ -
				$ -			$ -

Category	Item	NUMBER OF ITEMS	COST PER ITEM	TOTAL COST	FUNDING REQUEST	COST SHARE FUNDING	FINALIZED TOTAL COSTS
TRAVEL				$ -			$ -
				$ -			$ -
				$ -			$ -

Category	Item			TOTAL COST	FUNDING REQUEST	COST SHARE FUNDING	FINALIZED TOTAL COSTS
TOTAL				$ -	$ -	$ -	$ -

TEMPLATE 2A - RESEARCH CENTERS/INSTITUTES PROPOSAL NARRATIVE

PROPOSED NAME OF CENTER/INSTITUTE:

CENTER/INSTITUTE TEAM LEAD(S):

Role	Name	Department	College	Email
PI	*Jane Shah*	*Surgery*	*Medicine*	*Jane1234@drexel.edu*

RESEARCH KEYWORDS *(min. 5):*

PROJECT DESCRIPTION/SUMMARY: (15 page limit)

A. Mission, Rationale & Justification
1. What is the mission statement for this entity?
2. What is the proposed name for this entity and does it relate and support the mission?
3. Rationale & Justification:
    a. State the need(s) you believe this institute or center will meet.
    b. Is it possible to address the mission and need(s) inside existing programs?
    c. How do the objectives and the intended outcomes of the center/institute align with the mission and strategic plan of the university?

B. Potential Impact
1. How might the center/institute influence others beyond those participating in the initiative itself?
2. How might this center/institute improve Drexel's national and/or international position in research?
3. How might this center/institute enhance opportunities for students and post-doc participation in research?
4. How might this center/institute build university-wide capacity for use-inspired translational research, technology transfer and economic development?
5. How might this center/institute enhance community engagement?

C. Approach to Innovation

4. Proposed Organizational Structure
    a. Name of the director/interim director
    b. Proposed responsibilities of the director
    c. Proposed reassigned time or other compensation to serve as director
    d. Function(s) and composition of the advisory board (committee/board)
    e. Individuals external to the university

5. Academic Team and Industry Partners
    a. Composition of faculty associated with the center/institute and their respective roles in supporting the center/institute mission, goals and objectives

6. Scholarly Goals
    a. Anticipated scholarly outputs
    b. Assessment metrics

D. Budget Justification and Plan for Long-Term Sustainability

1. Budget Justification Narrative *(Budget Template must be completed)*
    a. Expected budget for the first year of operation
    b. External funding sources
    c. One-time costs
    d. Recurring costs
    e. Existing or new equipment, space and facilities needed to establish the center
    f. Existing or new personnel needed to operate the center (including any requests for faculty reassigned time)

2. Plan for Long-Term Sustainability
    a. How will the center/institute successfully raise external funds to support itself
    b. How might the center/institute identify and capitalize upon new external avenues of funding
    c. What may be the significant obstacles to greater achievement of this center/institute and how might you address them
    d. How will the center/institute draw new kinds of exceptionally talented faculty and students
    e. How will it lead to new curricular development

How will this center/institute strengthen the Drexel "brand?"

**TEMPLATE 2B - CENTER/ INSTITUTE FULL PROPOSAL BUDGET WORKBOOK
INSTRUCTIONS**

*Please contact fundingportal@drexel.edu for a fillable copy of the full proposal Budget
Template for new centers/institutes.*

The requested information assists the completion of a 5-year operations budget projection for a
center/ institute. This workbook is meant to assist in laying out a plan for the costs of a center/
institute and, while it will be evaluated, serves as a tool for successful directorship of a center or
institute to move the center/ institute toward sustainability. Therefore, information and data for
projected income and expenses entered should be realistic and based in sound logic.

The following document provides instructions, guidance, and tips for completing the
corresponding workbook.

1. Please complete all "blue" colored tabs (I, II, III, IV, V).
2. Only input data in "white" cells (leave all colored-cells alone, as they contain formulas)
3. Complete the requested information to the best of your knowledge.
4. All tabs will auto-calculate an overall detailed budget and budget summary on the last
   two "yellow" colored tabs (VI, VII).
5. You may add lines, but be sure to double-check the formulas in the corresponding
   "TOTAL" cells (we advise you do not delete lines)

****NOTE: If this budget workbook does not meet your center/ institute's needs, or if you have
any questions about completing this workbook, please contact the Office of Research,
fundingportal@drexel.edu.*

I. GENERAL
This tab asks questions about the center/ institute being proposed.
Please input information to the questions in the corresponding "white" cells.

II. ASSETS & REVENUE
This tab asks detailed questions about secured and potential assets and revenue sources for the
center/ institute. These assets and revenues must be dedicated solely to the center/ institute, and
not already counted in a budget or projection for the university, a school/ college, or a
department. Please only include assets and revenue that will be directly tied to the center/
institute.
Please input information to the questions in the corresponding "white" cells.

- **Secured / Received:** Support in which there is a signed letter, fully executed contract, or
  award letter, a fund has been set up, and the transaction is complete.

- **Pending / In Progress:** Support in which resources have been committed, but no letter has been signed, contract is not yet fully executed, proposal has been submitted but no decision has been made, or transaction is not yet complete.
- **Future / Planned:** Support that is not yet committed, or proposal has not yet been submitted, but you are planning to actively pursue on behalf of the center/ institute.
- **University/ School/ College/ Department Support:** This refers to any financial resources for the center/ institute by a university central office (e.g. Provost's Office, Office of Research), a school/ college, or a department. This can include, but is not limited to, personnel salary, space, equipment, software, supplies. Please list out each item and assign a monetary value to each item listed.
- **External Gifts & Support:** This refers to any financial resources for the center/ institute gifted to the center/ institute from a source external to Drexel University. A "Gift" is a contribution donated for unrestricted or designated purposed by extramural organizations or individuals. Gifts typically have no contractual requirements, other than committing to use the gift as the donor specified, and do not require deliverables. At Drexel, "Gifts" are processed through the Office of Institutional Advancement. Please see the Office of Research glossary page for more information (https://drexel.edu/research/resources/glossary/#G).
- **Grants & Contracts:** This refers to financial assistance in the form of a contractual agreement or award for the purpose of conducting a project or program. This agreement includes terms and conditions for the use of the funds and the conduct of the project or program.
  ONLY ENTER THE TOTAL DIRECT COSTS FOR EACH GRANT/ CONTRACT – DO NOT INCLUDE INDIRECT COSTS!
- **Other Revenue:** This refers to financial support for the center/ institute in the form of other resources not already included. This can include clinical services, clinical trials, tuition reimbursement, conference fees, and other potential sources of revenue. This section DOES NOT INCLUDE revenue generated from indirect costs/ Facilities & Administration Fees (F&A).

III. INDIRECT COST RATES

This tab asks questions regarding indirect cost (Facilities & Administration) rates, and the associated credit splits. These questions are being asked to help you determine the income from Indirect Costs your center/ institute may receive from awards over its specified years. Please answer all questions to your best ability, basing answers on past data and sound logic.
Please input information to the questions in the corresponding "white" cells.

- **Indirect Cost Rate (a.k.a. Facilities and Administration Rate/ F&A):** This rate reflects an additional charge placed on a grant or contract for the purpose of recovering the portion of costs that support sponsored projects. The monetary amount of this rate is collected by the university who retains a portion of the amount for general operational costs in the support of sponsored research activities, and then disperses the remaining

amount to the schools/ college/ or other entities. Please refer to the Office of the Comptroller page for more information on these rates.
(https://drexel.edu/research/proposal/budget/facilities-costs/)

- o **To find the average/ mean IDC of the past 5 years:** Take an inventory of all awards you have received over the previous 5 years, and note the IDC rate of each award. Then find the mean/ average of those IDC rates, and enter that percentage.
- o **To determine whether the rate will increase or decrease:** You will need to consider what types of grant/ sponsored research funding opportunities you will pursue in the specified years of your center/ institute, and whether the average/ mean of IDC for those opportunities will be higher or lower than the average/ mean IDC rate you listed above.
- o **To determine how much the rate will increase or decrease:** Enter the average/ mean IDC rate you anticipate based on the grant/ sponsored research funding opportunities you plan to pursue in the specified years of the center/ institute.

- • **Credit Split:** This is the distribution of the collected monetary amounts from indirect costs to the participating units. Generally, each school/ college and department has their own direction of what this distribution looks like. Please refer to your school/ college or department for more information, or to discuss a credit split agreement, for the center/ institute.

IV. EXPENSES

This tab is a detailed list of all costs for the operation of the center/ institute. It guides you through cost categories to assist in thinking through all possible expenses, including personnel, travel, equipment, tuition, and other direct costs.

Please input information to the questions in the corresponding "white" cells.

All costs must be Allowable, Allocable, and Reasonable, as described on the Office of the Comptroller's website,
(https://drexel.edu/comptroller/research-accounting/administration/allowableCosts/) and follow 2 CFR Part 200, Subpart E – Cost principles of Uniform Guidance
(https://www.ecfr.gov/cgi-bin/text idx?SID=cc85ae5dfdce4a0880947928d61c88e7&mc=true&node=pt2.1.200&rgn=div5#sp2.1.20 0.e)

- • **Inflation Rate:** If you would like to apply an inflation rate to each resulting year for the purpose of anticipating a natural increase in costs and prices, per year of operation, please enter a rate in the corresponding cell (D9). This rate is defaulted to 3%.
- • **Institutional Rates:** Other rates, such as fringe benefits rates, are defaulted to the current published rates. For more information on fringe benefits rates, and other rates, please refer to the Office of the Comptroller webpage.
(https://drexel.edu/research/proposal/budget/fringe-rates/)
- • **Personnel:** Fill in type, name (if known, or TBD), role, and salary, and other requested information, for each individual whose salary/time will be dedicated to the center/

institute, and the percent (%) of the total salary/ time that will be dedicated (*note: The remainder of the salary/time % for an individual should be dedicated to a school/ college or department or other entity, and this does not include effort % charged to grants*).

- o Example: If an employee will not start working for the center/ institute until Year 3 of the center/ institute, delete the salary information in Years 1 & 2, enter the formula =salary*effort% (columnFcell*columnHcell) for that employee in the Year 3 cell (columnKcell) so only their salary for Years 3, 4, and 5 are reflected.

- **Fringe Benefits:** This is the cost of the associated personnel/ employee's benefits, reflected as a percentage of the employee's salary or hourly wage. This section is auto-calculated from the information entered for Personnel, and applies the appropriate published institutional rate.

- **Travel:** Refers to travel done on behalf of, or for the direct purpose of, the center/ institute. Enter the cost of travel, per year. If you will only travel to destination(s) some years and not others, adjust the formulas to reflect the needs of the center or institute. Some items to consider when budgeting for travel are:
  - o The purpose of the trip (event, justification)
  - o Number of people traveling/ attending event
  - o Travel from and to
  - o Number of days & nights
  - o Airfare or Rail fare, round trip (total for all people)
  - o Lodging cost, per night (total for all people)
  - o Meals & Incidentals, per day (total for all people)
  - o Rental car total
  - o Registration fees
  - o Entertainment
  - o Other (mileage, baggage fees, parking, taxi, etc.)

- **Equipment > $5000:** Fill in the cost of purchased equipment to be used for the center/ institute over $5000 in the associated year it will be purchased. Equipment not > $5000 will be included in the Other Direct Costs category. Enter the total cost of the equipment in the year it will be purchased for the center/ institute. If you will only need an item some years and not others, adjust the formulas and amounts to reflect the needs of the center/ institute.

- **Other Direct Costs:** Includes all other costs for the center/ institute not already included in another Expenses category. Enter the cost, per unit, in column G, and the average number of units you will need, per year, in column H. If you will only need an item some years and not others, adjust the formulas to reflect the needs of the center/ institute. Per the list on the Comptroller's website, https://drexel.edu/comptroller/general-accounting/accounting-structure/chart-of-accounts/account-codes/ -- Expense Account Hierarchy

Other Direct Costs may include, but not be limited to, the following categories:

Accreditation expenses	Lab equipment
Advertising/ marketing	Laboratory supplies
Auto lease/ rental	Licenses
Awards to be given out Books	Local telephone expenses
Background checks	Long distance telephone expenses
Bank fees	Maintenance supplies
Broker fee	Membership dues
Cleaning supplies	Microfilms
Communication Equipment (phones, fax machine, etc.)	Office supplies (paper, pens, staplers, staples, ink, etc.)
Communications service expenses (internet, other)	Participants
Computers/ laptops	Patent expenses
Computer lease/ rental	Periodicals
Computer supplies	Photo printing
Custodial services (including snow/ trach removal, elevator, etc. if operating your own facility)	Postage
Electrical or plumbing expense	Printing
Equipment lease/ rental	Purchased services (legal, audit, consultants, etc.)
Equipment (other) < $5000	Recruiting, staff or faculty
Foreign currency translation expenses	Recruiting, students
Furniture	Subscriptions
HVAC supplies	Software lease/ rental
Honorariums to be given out	Staff development
Hospitality	Start-up packages
Instructional supplies	Security/ Life safety supplies & expenses
Insurance (facility, building, equipment) Library Binding	Transportation (non-travel related)

- **Tuition:** This includes any student tuition charges to the center/ institute, based on the credit hour rate and number of credit hours that will be covered. Enter the cost, per credit hour, in column G, and the number of credit hours the center/ institute will cover, per year, in column H. If credit hours will only be covered in some years and not others, adjust the formulas to reflect the needs of the center/ institute.

V. SPACE & FACILITIES

On this tab, please complete information regarding the space (offices, labs, conference rooms, student workspaces, etc.) the center/ institute will require. Please answer all questions and complete the number of rooms/ space needed for each of the specified years of the center/ institute. For example, if you will only need one office for year 1, but plan to hire a staff member in year 2, then you will need one office in year 1 and two offices in year 2.
Please input information to the questions in the corresponding "white" cells.

If another entity is providing or paying for space for the center/ institute, please still complete this tab, and be sure the amount of cost of the space provided is reflected on tab II. ASSETS & REVENUE.

Average square footage for space is provided, as a default, for each room type. If exact measurements of the space are unknown, or if you do not yet have space, please use these averages. If you know the square footage of the space, please adjust the default average with the actual size.

An average of $27.55 per square foot is assumed as the cost for space and facilities. This is an estimate, and this cost is applied to the total cost per square foot. If you know the actual cost per square foot for your space, this number may be adjusted in cell D45.

V. BUDGET TOTALS

You will not need to enter any information on this tab.

The data from the other tabs are linked to this BUDGET TOTALS tab to show a detailed budget projection for the specified years of the center/ institute.

The bottom of this tab shows the Total Net Expenses (IV. EXPENSES + V. SPACE & FACILITIES), and the Total Net Income (II. ASSETS & REVENUE + III. INDIRECT COST RATES).

Center/ Institute – Funded Expenses represents the remaining costs not already covered by sources that the center/ institute will need to finance.

VI. SUMMARY

You will not need to enter any information on this tab.

This tab provides a quick snapshot of the financial projection of the center/ institute. Data and information from all previous tabs are linked to this tab.

TEMPLATE 3 – PROPOSAL EVALUATION CRITERIA

Vision:

- What are the central intellectual challenges and research needs that the research institute/center will address over the next 5-10 years?
- Who are the stakeholders for the research institute/center internal and external?

Mission and Goals:

- What is the mission of the research institute/center and how does it contribute to the mission of the university?
- What are the peer and aspirant programs from the research institute/center at other institutions?
- What are the goals for the next five years?
- How does the research institute/center contribute to the university's strategic plan and to the plans of the department(s)/school(s)/college(s) involved?

Anticipated Activities and Accomplishments:

- How many faculty and students do they expect to be engaged in research institute/center activities?
- How have they described the planned activities of the research institute/center and be specific (e.g., publications, patents, tech transfer, collaborations/partnerships, awards, multicultural/diversity activities, community/civic engagement)

Funding and Resources:

- Have they described and provided evidence of adequate external financial resources for stand-up and/or continued operation of the research institute/center?
- If university resources are involved, how will they be leveraged?
- Is there secured external funding that will support the research institute/center's research and operation?
- What is the plan for sustainability moving forward over the next year? In three years? In five years?
- Are they in search of new space or will they use existing space for this research institute/center? Have they included the required letters of acknowledgement for new space allocations?
- For interdisciplinary research institutes/centers and collaborative team research, have they described how the credit allocation recognition of the investigators and departments, as well as indirect cost allocations among investigators and their departments/colleges, be distributed?

TEMPLATE 4 – SAMPLE DRAFT AWARD LETTER

Congratulations! We are pleased to inform you that (name of center/institute) has been approved.

This new research (center/institute) is an outstanding showcase of the Drexel University's outstanding XXX research including the areas of XXXX.

You (and other founding co-director(s) if applicable) will serve as the founding member(s) with the exception that the research (center/institute) will foster world-class research in the area(s) of XXXX, providing both a physical space and a collaborative atmosphere of this research. In addition, the research (center/institute) will act as a bridge (academic home(s) of the director/co-director(s)) providing transdisciplinary collaborations for research proposals. (Name of research center/institute) will have a new segregated account with no commingling of other funds unrelated to the stand-up, research and operation of the research institute/center.

As outlined in the Guideline to Initiate, Change or Sunset Research Centers/Institutes (Guidelines), you (and other founding co-director(s) if applicable) will be required to enter into an Initiation Agreement. To document progress towards goals, the research (center/institute's) performance will be reviewed annually (provide a date). The research (center/institute) will operate for a period of three years with the possibility of renewal based on a satisfactory performance review.

We believe that the investment demonstrates Drexel's community to (XYZ) as an important centerpiece of our research portfolio. It is understood that the research (center/institute) will abide by Drexel University policies and procedures. Since the university is a changing environment, Drexel University policies and procedures are subject to revision at any time and you should consult with appropriate university offices to verify the current text or status of Drexel University policies that may apply to you (and other founding co-director(s) if applicable) and the research (center/institute).

We look forward to working with you to maximize your impact to grow Drexel's research.

TEMPLATE 5 - INITIATION AGREEMENT FOR RESEARCH CENTER/INSTITUTE

This Agreement is made on [DATE], by and between the Provost, the Vice Provost for Research, the [DEAN or DEANS], and [FACULTY MEMBER] for the purpose of creating the [CENTER/INSTITUTE].

Leadership and Reporting

[FACULTY MEMBER], [ACADEMIC TITLE] in the [COLLEGE/SCHOOL], is hereby named to serve as the inaugural Director [or Co-Directors] of the [CENTER/INSTITUTE] and will be responsible for managing its operations and finances.

The [CENTER/INSTITUTE] will report to the [COLLEGE/SCHOOL or Vice Provost for Research], and [FACULTY MEMBER] will report directly to the Dean of the [COLLEGE/SCHOOL or Vice Provost for Research] in their capacity as Director of the [CENTER/INSTITUTE].

Resources

The [CENTER/INSTITUTE] will be supported through a combination of research funds and centrally allocated resources [if appropriate] as follows:

[INSERT DETAIL HERE]

Term

The arrangements made by the parties by this Agreement shall remain in place from [DATE] until [DATE]. The term can be extended according to the Guidelines to Initiate, Change, or Sunset of Research Centers/Institutes (the "Guidelines").

Understanding

It is mutually agreed upon and understood by the parties to this Agreement that:
1. Each party will work together in a coordinated fashion for the good of the [CENTER/INSTITUTE].
2. All parties agree to be bound by the Guidelines with regard to periodic review of the [CENTER/INSTITUTE], financial and operational oversight, sunset, and all other matters related to Research Centers and Institutes.
3. Nothing in this Agreement obligates any party to the transfer of funds other than what is agreed upon in the "Resources" section above.
4. This Agreement will be effective upon the signature of all parties.

Signatories

Executive Vice President and Nina Henderson Provost
Vice Provost for Research
Dean, [COLLEGE/SCHOOL]
Dean, [COLLEGE/SCHOOL] (additional if needed)
Inaugural Director, [CENTER/INSTITUTE] (faculty member)

TEMPLATE 6 – BENCHMARKING, EVALUATION & ASSESSMENT PLAN

Functional Area	Status/ Accomplishments	Intended Outcomes/Actual Outcomes	Challenges
Set and Develop Goals			
Goal Tracking and Setting of Milestones			
Metrics for Measuring Success			
Outcomes and Impacts			
Accountability to Leadership and Stakeholders			
Funding and Budgetary Status			
Relative Position of Team Benchmarked Against Similar Teams Nationally and Internationally			

TEMPLATE 7 – ANNUAL PERFORMANCE ASSESSMENT

Annual Performance Assessment Questions:

1. What is the research center/institute's vision for its contributions to the creation of knowledge?
2. How have the research activities in this research center/institute supported the university and college's strategic plans?
3. From what entities does the research center/institute secure its resources (e.g., financial, administrative and other)? Please list.
4. Define the types of research, scholarship and creative productivity that have typically occurred in the research center/institute.
5. Does the research center/institute have identified foci for its research, scholarship and creative pursuits? If so, what are they and reflect on their productivity.
6. Identify significant faculty and/or discipline achievements in research, scholarship and/or creativity within the research center/institute.
7. Describe any unique research, scholarship and creativity focus that sets your research center/institute apart from its peers. Use data to support your assertion of unique focus.
8. Identify and describe the collaborative and/or interdisciplinary projects/initiatives within the center that are in process or have taken place. Describe the role of collaborative projects/initiatives in the context of the overall research mission of the center.
9. Describe the center's involvement, if applicable, with university-wide interdisciplinary research themes and initiatives. If the research initiatives involved non-traditional research disciplines, describe if and how did these non-traditional research disciplines add value to multidisciplinary projects and their outcomes.
10. What strategic hiring and recruiting practices have been implemented to strengthen the research center/institute's research mission?
11. What impediments inhibit the expansion and strengthening of the productivity of research, scholarship and creative efforts? How might the impediments be addressed?
12. How does the university technology and information infrastructure and associated resources (e.g., IT, Libraries) support the growth of the research in this center/institute?

Please complete the Research Center/Institute Grid for Questions, Parts I, II and III. The fiscal years in the tables may need to be adjusted.

Part 1

The tables below include information about grant activity, funding amounts as well as different types of presentation and publications

Grant Information	Grant Proposals Submitted	Grant Proposals Accepted	Sponsor List	Currently Active Grants
2020-21				
2021-22				
2022-23				

Table 1: Information surround grant submission and approved projects

Research Funding	Internal Funding	External Funding	Total
2020-21			
2021-22			
2022-23			

Table 2: Information about internal and external funding

Presentations/ Talks	Conferences	Invited Talks	Conferences Organized	Chaired Conference Sessions	Workshops	Author Meets Critic Sessions
2020-21						
2021-22						
2022-23						

Table 3: Information about presentations, workshops, invited talks, etc.

Publications	Journal Articles	Refereed Papers	Books/Book Chapters	Awards
2020-21				
2021-22				
2022-23				

Table 4: Information about publications including journals, papers and books

Part 1I

The tables below correspond to the number of students involved with research or scholarship and also the deliverables that were produced

UG Student Involvement	STAR Research	Research Co-op	Other Research Projects	Presentations	Co-authors	Grants	Awards
2020-21							
2021-22							
2022-23							

Table 5: The amount of UG students involved with research and scholarship and their contributions

GR Student Involvement	Presentations	Co-authors	Grants/ Fellowships	Awards	# of Masters Students	# of Doctoral Students
2020-21						
2021-22						
2022-23						

Table 6: The amount of GR student involved with research and scholarship and their contributions

Post-doc Involvement	Presentations	Co-authors	Grants	Awards
2020-21				
2021-22				
2022-23				

Table 7: The amount of Post-doc students and deliverables

Part III

The tables below detail the amount of creative contribution during the three year period including patents, exhibits and screenplays

Intellectual Property	# of Invention Disclosures	% of Faculty Submitting Invention Disclosures	Licensing Fees
2020-21			
2021-22			
2022-23			

Table 8: Information about inventions and licensing fees

Patents	Submitted	Approved
2020-21		
2021-22		
2022-23		

Table 9: Information about patents

Performances	Major Shows	Awards
2020-21		
2021-22		
2022-23		

Table 10: Information about performances and awards pertaining to performance

Exhibits	Temporary Exhibits	Permanent Collections	Awards	Commissioned Work
2020-21				
2021-22				
2022-23				

Table 11: Information about exhibits, collections and awards pertaining to exhibits

Written Work	Screenplays	Screenings
2020-21		
2021-22		
2022-23		

Table 12: Information about screenplays and scripts created as well as screenings and plays

TEMPLATE 8 – SUMMARY OF SCHOLARSHIP, CREATIVE ACTIVITY, SERVICE AND INSTRUCTIONAL ACTIVITIES

1. Has the research center/institute met the mandate for which it was established?
2. Please provide an assessment as to whether your research center/institute's direction, goals, strengths and weaknesses are in the areas of the school/college/university mission.
3. What is the ongoing relevance of your research center's work to the university community?
4. Is the research center/institute relevant to the mission of the school/college? To the university?
5. Has your research center/institute been a good financial steward of its resources? Describe in detail and provide an assessment of the financial and administrative soundness of the center.
6. Does the current format of the research center/institute need to change, stay the same or change direction/focus, and if so, what would be the future direction?
7. How is the current leadership performing?
8. Please provide an assessment of your research center/institute's intellectual and other contributions to the mission of its school or faculty, college or program and the university.
9. Please provide an assessment of the breadth and intensity of senior faculty participation, to ensure that the viability of the center does not depend either intellectually or financially on a single individual.
10. Please provide a written report containing recommendations for improvement or change, as appropriate.
11. Describe initiatives and resources available to encourage undergraduate involvement in faculty research. Please provide the number of students engaged in STAR research, research co-op or other research, include metrics of undergraduate productivity such as presentations, co-authorships, grants/fellowships, shows and exhibits.
12. Describe initiatives and resources to support graduate student involvement in faculty research. Please provide the number and type (PhD, Doctoral, MS, etc.) of graduate students engaged in research/creativity, include metrics of graduate student research productivity such as presentations, co-authorships, grants/fellowships, shows, and exhibits.
13. Describe initiatives and resources to support post-doctoral fellows' involvement in research/creativity. Please provide the number of post-doc students engaged in research/creativity, include metrics of research productivity such as presentation, co-authorships, grants/fellowships, shows and exhibits.

Please provide a narrative summary of scholarship, creative activity and/or instructional activities undertaken through the research center/institute in the textbox below:

Narrative summary. Feel free to expand to next page if needed.

TEMPLATE 9 REVENUE & EXPENSES SWOT ANALYSIS

TO BE ADDED