

# SOUTH DAKOTA SCHOOL OF MINES & TECHNOLOGY

## Policy Manual

**SUBJECT:** Authorization and Review of Research Centers

**NUMBER:** Policy 9-4 (formerly Policy IX-07)

**Revised Date:** August 2024

---

### POLICY

This policy focuses on the authorization and review of Research Centers. Institutional Research Labs and Core Facilities, as defined below, operate as formal administrative units within the institution and are subject to annual budget review with all other campus academic and non-academic units.

At Mines, **Research Centers (Centers)** may be established to strengthen interdisciplinary research programs in a particular topical area, enrich student research and mentoring experiences, and facilitate economic development and technology transfer. The topical focus of Centers must focus on research that reflects the interests and activities of Mines, and are consistent with regentally authorized programs for the institution. Centers typically receive initial funding through a large grant (e.g., Governor's Research Center, NSF Engineering Research Center). It is possible, but unusual, to form a Center when there is not initial direct, dedicated external resources to support Center functions and operations.

Centers activities should involve students, faculty, and other professional staff from multiple departments and may incorporate facilities and researchers from other institutions, as appropriate and with appropriate permissions, based on Center funding.

The institutional lead for a Center does not have a formal appointment as a director at Mines, although informal use of that title is permitted. Centers do not exist in perpetuity and undergo regular review, as outlined below.

By comparison, Institutional Research Laboratories (Labs) support basic and applied research, and house significant equipment assets. Activities are supported through external grants (including Center grants), industry consortia, and/or use fees. The faculty lead has a formal appointment as a director at Mines.

Similarly, **Core Facilities** are departmental or institutionally centralized technology-based laboratories that maintain and support sophisticated equipment for use by students, faculty, and staff as well as by external customers. Core facilities are primarily funded by user fees. Typically, research funding, except for equipment grants, are not run through a core facility. The faculty lead has a formal appointment as a director at Mines.

## **PROCEDURES**

1. A proposal for the establishment of a Center will be submitted by the potential Center Director to the Vice President for Research using the form “Request to Establish Center” (see <https://www.sdsmt.edu/experience/research/research-procedures.html/>). For Centers seeking to be established as the result of grant acquisition, that proposal may serve this function.
2. Center proposals are reviewed by the South Dakota Mines Executive Council and approved by the President.
3. If establishing the Center leads to a change in organizational structure, approval under BOR Policy 1.1.5 may be required.
4. If the Center is to be named after a person, family, or organization, naming will follow Mines Policy 1-3 and receive approval under BOR Policy 1.7.2.
5. Designated Centers will be administered to include the following operating procedures:
  - a. Appointments of the Director and other personnel associated with the Center is by the approval of the president.
  - b. The Director will report Center activities to the Vice President for Research.
  - c. Administrative authorization for actions involving persons associated with the Center will remain the responsibility of the Department Head or Director of primary appointment, including performance evaluation, approval of assignment, approval of release time and leave time, and other personnel requirements.
  - d. All proposals for research or sponsored projects involving a Center will be processed through the normal South Dakota Mines approval process with the signatures of the Center Director and all Department Heads or Directors who are responsible for the evaluation of the performance of persons associated with the proposal required.
  - e. Indirect costs derived from grants associated with a Center will be allocated in accordance with university policy 9-16. Grants may only be affiliated with one center – no prorated F&A returns will be distributed to multiple centers.
  - f. If equipment acquisition is involved in the proposal to fund a Center or any other proposal routed through a Center, the residency of the equipment must be agreed upon, in writing, by the Vice President for Research, the Associate Vice President for Facilities, Risk, and Services, and the administrator(s) currently controlling the space, prior to any proposal submission.
6. For Centers in which the grant establishing it is active, annual activities will be documented by forwarding annual agency reports to the Vice President for Research.
7. For Centers in which the grant establishing them has expired, or those that do not have initial direct, dedicated external resources for center function and operation, the following additional criteria will apply:
  - a. For persons with a 9-month faculty contract funded by the state,
    - i. the Director’s salary will be calculated as the 9-month base salary converted to 12-month salary at 133% and a Center Director’s increment of 20% will be added.
    - ii. The 9-month faculty salary will be paid from state funds. The 3-months of summer salary is to be paid from grants or the Center's F&A distribution using the FY salary in place at the beginning of summer for both Summer I and Summer II. The Center Director's increment is to be paid from grants or the Center's F&A distribution.

- iii. If a Director resigns or is removed, or if a Center closes, the Director's increment of 20% is removed and the 12-month salary at time of reversion will be converted to a 9-month salary at 75%, with salary funded by state support.
- iv. The Director's teaching will be the standard departmental teaching load, as determined by the Department Head. Course buy outs must use grant resources at the University Faculty Workload Policy rate, while remaining within the teaching load minimums prescribed by the Department and University Faculty Expectations Documents.
- b. For persons that are not on a state-supported standard 9-month faculty contract, the Center Director salary calculation will be determined on a case-by-case basis.
- c. All Center resources will be derived from grants and/or F&A return from funded grants.
- d. Centers are approved for a five-year period, with annual reporting required between five-year reviews. Use form "Annual Reports and 5-Year Reviews of Centers" (available at <https://www.sdsmt.edu/experience/research/research-procedures.html>) to structure these reports.
  - i. A Center will be evaluated in relation to fulfilling its mission, levels of productivity, financial viability, management effectiveness, and potential for future funded activities.
  - ii. If an annual report indicates possible issues with center viability, a review analogous to a 5-year review will be triggered.
  - iii. If a 5-year review indicates issues with center viability, it will be deactivated.
- e. Centers will operate from existing assigned office and laboratory space. No additional space will be designated for the Center until such time as it is deemed necessary and approved by the Vice President for Research and the Associate Vice President of Facilities, Risk, and Services, based on overall Center performance and research space needs.

**Forms:**

Report to Establish Center Form

Annual Reports and 5-year Reviews of Centers Form

**Source:** Office of Research Affairs

**Revision History:** Established, dated unknown. Revised 11/8/91; Revised 9/25/2023 to expand guidelines, revised August 2024 to update formatting, policy numbers, clarify the definition of a Research Center, and include information for annual reporting for centers in which original grant funding remains active.

**BOR Policy or Committee:**

SDBOR 1.1.5 Appointment, Authority, and Responsibilities of Presidents and Superintendents

SDBOR 1.7.2 Naming of Institutional Facilities, Programmatic Units, or Funded Academic Honors

Mines 1-3 Naming of Facilities, Programs and Funded Academic Honors

Mines 9-16 Finance and Administrative Cost Distribution