

# **ESTABLISHMENT AND REVIEW OF CENTERS AND INSTITUTES POLICY**

*Approved by Administrative Council 11/2/15*

*Effective date 11/2/15*

## **I. PURPOSE**

Centers and Institutes are established to strengthen and enrich the College(s) and University's mission of education, research, and service. This policy outlines the criteria for establishing and evaluating Centers and Institutes in order to ensure that Centers and Institutes that are implemented within the University are of the highest quality, enhance existing activities, and are aligned with the mission, goals and strategic plan of the College(s) and University.

## **II. DEFINITIONS**

### **Center**

A Center is a unit organized within a College or across multiple Colleges that has a focused mission and clearly defined objectives designed to facilitate interdisciplinary activity in research, education, or service. Centers are not autonomous; they are partnership endeavors with the University that maximize resources to enhance knowledge in ways not previously envisioned.

### **Institute**

An Institute is a more formalized unit at the University level that has a large-scale mission. Compared to a Center, an Institute has a broader set of goals, objectives and scope and it may be an autonomous unit within the structure of the University. It may involve partnerships among entities within and external to the University and it may be focused on one discipline or may be interdisciplinary.

## **III. ESTABLISHING A CENTER OR INSTITUTE**

The establishment of a new Center or Institute requires careful deliberation that includes a justification of need and the potential for making a meaningful contribution. The creation of a Center or Institute begins with a proposal that is submitted by a College or as a joint effort with multiple Colleges. Interdisciplinary Center proposals that cross several Colleges will be reviewed and approved by all involved Colleges. Following College-level approval by the Dean(s), the proposal is then forwarded to the appropriate Chancellor(s) and then to Administrative Council. Approved Centers and Institutes may begin operation only after the notification of Administrative Council's approval, if Board of Trustee approval is not needed.

The proposal for establishing a new Center or Institute should provide information regarding the following elements (using the template provided in Appendix A):

### **Description and Purpose**

- Mission Statement
- Need: Justification that the proposed Center or Institute meets a need currently not being met elsewhere within the University and/or provides an enhancement to an existing program.
- Contribution to the mission of the University: Describe the relevance of the Center or Institutes mission including any impact upon the existing Departments, Colleges, Centers, or Institutes.
- Contribution to the University Strategic Plan.
- Activities, objectives and goals: Provide a list of the specific goals and objectives.

### **Organization Structure**

- Personnel: Provide the name of the proposed Center or Institute Director and why that person was chosen for the position. Include the CV of the proposed Director.
- Provide a list of the individuals who will make up the proposed Center or Institute including their role, their expertise to carry out that role, and the permission of their division head to participate in the proposed Center or Institute.
- Oversight Committee: Description of any proposed advisory or policy boards and the criteria for appointments to the board, including terms and roles.
- Organization Chart: An organizational chart showing a) the internal organization of the proposed Center or Institute, and b) the relationship of the proposed Center or Institute to the existing organization.

### **Space and Facilities Requirements**

- Identify the current space, facilities and capital equipment that have been secured for the operation of the Center or Institute and realistic projections of future needs.

### **Funding and Budget**

- Funding Sources: Provide sources and amount of funding anticipated. Include proof of funding sources (e.g., grants, college or university commitment, letters of intent from third party). If no funds will be used initially, describe what efforts will be undertaken to find future support.
- Budget: Provide an estimated budget for the first (1st) year of operation and projections for the following four (4) years, to ensure sustainability.

### **Evaluation Plan**

- Performance Measures/Outcomes: Include any measures that may be used to evaluate the success of the Center or Institute.

## **IV. REVIEW AND APPROVAL PROCESS**

The proposal should be submitted to the Dean(s) and Chancellor(s) and upon approval will be forwarded to the Administrative Council and Board of Trustees, as appropriate.

Applicable units will be notified in writing of the status of the approval or disapproval.

## **V. REPORTING AND EVALUATION**

### **Biennial Report**

The Director/Coordinator of each Center must prepare a biennial report of its activities over the previous two years and plans for the years ahead. By September 30<sup>th</sup> of the second year, the annual report is to be submitted to the supervising Dean(s) and Chancellor(s). Unless an exception is approved by the Administrative Council, all Centers and Institutes will be reviewed every two years.

The report shall include information on the following and using the template included as Appendix B:

1. Mission Statement
2. Relevancy to the Mission of the College(s) and University
3. Relevancy to University Strategic Plan
4. Goals and Objectives
5. Interaction with Internal and External Entities
6. Role of Center or Institute within Roseman and the Community
7. Anticipated Changes
8. Performance Measures/Outcomes
  - Personnel
  - Funding including Contracts and Grants
  - Expenditures
  - Publications/Presentations
  - Inventions/Patents/Licenses
  - Community Outreach
  - Other Measures

The Dean(s)/Chancellor(s) will review the biennial report and comment on the performance, financial viability, and success of the Center/Institute in meeting its stated goals and objectives. The biennial report, with comments from the Dean/Chancellor, is forwarded to the Administrative Council by October 15<sup>th</sup>.

### **Evaluation Process**

The specific questions that will be addressed in the course of the evaluation may include:

- Are the defined goals and objectives being accomplished?
- Is current funding of the Center or Institute sufficient to continue its operation?
- Is faculty/staff sufficient to continue Center or Institute operations?
- Is the quality of scholarly activity by faculty, staff, and students reflected in its output (publications, patents, copyrights, etc.)?
- Do current operations of the Center or Institute agree with the goals and objectives of the Center or Institute? Does it duplicate the efforts of other Centers and Institutes?

- Does the financial records and evaluation demonstrate that the Center or Institute is being managed properly? Were any serious problems discovered?
- Are funding sources appropriate and available? If start-up funds were involved, has Center/Institute been able to attract sufficient outside funds to continue without additional institutional support?
- Is space and equipment required for operation of the Center or Institute available?
- Are the Center or Institute clients being served well? If so, how? If not, why not?

The review will entail examination of the biennial report, web sites, and research products coupled with a discussion with the Director(s) and other participants about future directions and opportunities, constraints, funding, and personnel needs.

Each review will conclude with a recommendation to continue, modify or abolish the structure.

## **VI. CHANGING EXISTING CENTERS/INSTITUTES**

### **Changes to the Name, Mission, or Personnel of a Center or Institute**

In the normal operation of a Center or Institute, it is expected that there will be evolutionary changes to the Center's name, mission and personnel.

Change of Center/Institute Director: Report the change in writing to the Dean(s)/Chancellor(s) along with a plan for any replacements.

Change of Name/Mission: The Center/Institute Director must submit a written proposal to the Dean(s)/Chancellor(s) justifying the need for the proposed changes along with an explanation on how the change will better reflect the current activities of the Center or Institute. Any changes to the name and/or the mission of the Center or Institute must be reviewed and approved by the Administrative Council.

### **Disbanding a Center and Institute**

A Center or Institute may be abolished as a result of the review, financial reasons or abandoned as a result of inactivity. The action to abolish or abandon may be recommended by the Dean(s)/Chancellor(s) or President and taken to the Administrative Council and Board of Trustees for final approval. The abolishment or abandonment will not be finalized without an official notification to the affected unit(s) and any governing bodies.

**APPENDIX A**

**REQUEST FOR APPROVAL TO ESTABLISH A CENTER OR INSTITUTE  
AT ROSEMAN UNIVERSITY OF HEALTH SCIENCES**

Name of Center/Institute: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Date: \_\_\_\_\_

Dean, Chancellor, or University Officer to whom this unit will report:

\_\_\_\_\_

Unit/Location of proposed Center/Institute: \_\_\_\_\_

Proposed date to establish Center/Institute: \_\_\_\_\_

**I. Description and Purpose**

A. Proposed mission of the Center/Institute

B. The need for the proposed Center/Institute

- Justification that the proposed Center or Institute meets a need currently not being met elsewhere within the University and how the Center or Institute will enhance any existing program(s).
- What is the relationship of the proposed Center/Institute to currently available faculty, educational programs and other Centers at the University?
- What is the benefit of the new Center/Institute to the students and faculty at the University?
- What is the benefit to the non-University community and how will the results of the Center's/Institute's activities be communicated to this wider community?

C. Contribution to the mission of the College(s)/University

Describe the relevance of the mission of the Center/Institute including any impact upon the existing Departments, Colleges, Centers, or Institutes.

D. Contribution to the University Strategic Plan.

E. Activities, Goals and Objectives

- Provide a two-year list of the specific goals of the proposed Center/Institute.
- How will the new entity help advance understanding in the area of the Center/Institute's expertise?
- New opportunities that may occur as a result of the new Center/Institute?

**II. Organization Structure**

A. Personnel: Director/Faculty/Staff

Provide information about the proposed director(s) and a listing of faculty and staff that will be associated with the Center/Institute.

## APPENDIX A

B. Oversight Committee

If applicable, explain the composition of any proposed Advisory Committee or Board and how members will be appointed including terms and roles.

C. Organization Chart

Include a preliminary organization chart showing the internal organization of the proposed Center or Institute and demonstrate how authority and responsibility will be distributed. Clearly explain relationship of the Center or Institute to any existing University units.

**III. Space and Facilities Requirements**

Identify the current space, facilities and capital equipment that have been secured for the operation of the Center or Institute and realistic projections of future needs.

**IV. Funding and Budget**

Provide budget estimates for the first year of operation, projections for the following 2 years and anticipated sources of funding.

**V. Evaluation Plan**

Provide any measures/outcomes that will be used to evaluate the success of the Center or Institutes' accomplishments in meeting its goals and objectives (e.g., project titles, grants generated, private resources secured, or community impact.)

**APPENDIX A**

**Proposal to Establish a Center or Institute  
SIGNATURE PAGE**

The attached proposal identifies the purpose, justification, resource streams and expenditures for a proposed Center or Institute. Your signature affirms your support to the Center or Institute.

**Name of Center/Institute**

\_\_\_\_\_

**Center/Institute Director**

\_\_\_\_\_

Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Dean(s) and/or Chancellor(s)**

\_\_\_\_\_

Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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Name

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Date

**APPENDIX A**

\_\_\_\_\_

\_\_\_\_\_

Name

Signature

Date



<b>Proposal to Establish a Center or Institute</b> <b>The following decision has been made:</b>	
	<b>Center/Institute APPROVED</b>
	<b>Center/Institute DENIED</b>

**Date of Administrative Council Approval**

**Date of Board of Trustees Approval**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Date**



CENTER AND INSTITUTE  
BIENNIAL REPORT

Please provide the following information. Do not exceed 6 pages. Director shall submit the report to the appropriate Dean(s)/Chancellor(s).

<b>NAME OF CENTER/INSTITUTE</b>			
<b>Year Established</b>		<b>Website Address</b>	
<b>CENTER/INSTITUTE DIRECTOR</b>			
<b>Name</b>		<b>Title</b>	
<b>Email</b>		<b>Phone</b>	
<b>UNIT AFFILIATION(S)</b>			
<b>Name (Dean/Chancellor)</b>		<b>Title</b>	
<b>Email</b>		<b>Phone</b>	
<b>Campus</b>			
<b>DATE REPORT SUBMITTED</b>			

**I. Mission Statement**

Provide the mission statement of the Center or Institute.

**II. Relevancy to the Mission**

Explain how the work of the Center or Institute remains relevant to the mission of the College(s) and University.

**III. Relevancy to University Strategic Plan**

Explain how the work of the Center or Institute ties into the University Strategic Plan.

**IV. Goals and Objectives**

Provide a list of the specific goals of the proposed Center/Institute and describe how the goals have been met or an explanation about how they were modified and the new goals were met.

**V. Interaction with Internal and External Entities**

List the unit and faculty at Roseman and any external entities that the proposed Center or Institute interacts with and provide information about the effectiveness of these interactions.

**VI. Anticipated Changes**

Describe major changes anticipated during the next two years including the following:

- A. Mission and Goals
- B. Size of Center or Institute (changes in number of personnel, space)
- C. Budget (include internal and external support)
- D. Organization Structure

**VII. Performance Measures/Outcomes**

Provide the following information for each fiscal year included in this review period.

**A. Personnel**

Name of faculty, staff and students indicating percent of time associated with the Center or Institute.

Personnel	Effort

**B. Community Outreach**

Describe the Center or Institute’s community outreach and service.

**C. Funding (received during each fiscal year included in this review period)**

Funding: Contracts & Grants	Year 1	Year 2
Grants and Contracts (Source and Amount)		
Gifts/Donations		
Indirect Cost Recovery		
University Allocation		
Cost Sharing		
Patent and Licensing Revenue		
Other		

<b>Total Support</b>		
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**D. Expenditures**

Budget Category	Year 1	Year 2
Personnel		
Travel		
Equipment		
Materials and Supplies		
Other		
<b>Total</b>		

**E. Publications and/or Presentations**

List any journal articles, books, papers, reports, presentations, etc.

**F. Inventions, Patents, Licenses**

List invention disclosures, patent applications, patents received, and licenses providing appropriate details.

**G. Other Measures**

List any other evidence of the productivity of the Center or Institute.

Biennial Review of Center or Institute  
SIGNATURE PAGE

Name of Center/Institute

\_\_\_\_\_

Center/Institute Director

\_\_\_\_\_

Name

Signature

Date

\_\_\_\_\_

Dean(s) and/or Chancellor(s)

\_\_\_\_\_

Name

Signature

Date

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\_\_\_\_\_

Name

Signature

Date



<b>Review of Center or Institute</b> <b>The following decision has been made:</b>	
	<b>Center/Institute APPROVAL FOR ___ YEARS</b>
	<b>Center/Institute to be DISBANDED</b>

**Date of Administrative Council Approval**

\_\_\_\_\_  
**Date**

