

 <p><b>Category:</b> Administration</p> <p><b>Policy applicable for:</b> Colleges, Faculty/Staff</p>	<p><i>Policy Title:</i></p> <p><b>Centers and Institutes</b></p> <p><b>Effective Date:</b> 06/15/2015</p> <p><b>Prior Effective Date:</b> N/A</p> <p><b>Enabling Act(s):</b></p>	<p><i>Policy Number:</i></p> <p><b>1.5.2</b></p> <p><b>Policy Owner:</b> Sr. VP for Academic Affairs &amp; Provost</p> <p><b>Responsible Office(s):</b> Sr. VP for Health Affairs Provost Sr. VP for Health Affairs</p>
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## A. Background

Centers and institutes are established within the university because the services they provide help advance the university's tripartite mission. The university has a vital interest in and recognizes the value of each center and institute. The university is committed to ensuring that each center and institute operates in a proper manner, while seeking to maintain the appropriate independence.

To protect the university's interests, the following principles shall apply to the university's relationships with centers and institutes:

1. The creation and activities of centers and institutes must promote, advance, or complement the educational, scientific, research, charitable, or cultural activities of the university or one or more of its units.
2. Centers and institutes will be monitored by the university through a regular reporting process to include financials.
3. Centers and institutes must adhere to university standards of ethics and must avoid or properly address conflicts of interest.
4. The university's relationship with a center or institute is not necessarily intended to be perpetual. The continuation of a center or institute will be examined annually to determine whether the operation of the center or institute will be continued or whether a sunset provision is appropriate.

Through the application of these principles, this policy provides a framework to guide the university in establishing and monitoring centers and institutes.

## **B. Policy and Procedures**

### **1. Definitions**

- a. A “Center or Institute” is an internal organizational unit with a unique mission involving research, education, or service (or a combination of these). Unlike affiliates, which are separately organized entities (see University Policy Number 1.5.3), centers and institutes operate as administrative units or parts thereof of the university. Typically centers and institutes engage in activities that include, but are not limited to, utilizing substantial university resources, conducting substantial research, securing public or private funding, and/or entering into contracts with third parties. Centers established between a university unit(s) and an outside affiliate will, at a minimum, adhere to this policy but may also be subject to additional requirements agreed upon by the forming university unit and the affiliated entity.
- b. Responsible Party” means the director, executive officer, or other designated individual who is principally responsible for managing the daily operations of a Center.
- c. “Sponsoring Unit” means the university unit(s) desiring to establish a Center.

### **2. Process for Establishing a Center**

Centers are designed to further the university's missions in ways that cannot be addressed through traditional structures, such as departments, schools, and colleges. To justify the establishment of a Center, the Sponsoring Unit(s) should provide evidence of the Center's “value-added”. “Value-added” generally means that the Center's mission, objectives, and operations will not perfectly duplicate but instead seek to complement operations of departments, schools, and colleges. Instead, Centers will offer programs or opportunities that cannot be offered at least as well through existing structures. The rationale for establishing a

Center may include, among other things, attracting greater recognition and support and/or providing an infrastructure that promotes synergistic interactions among faculty within a college or across colleges (i.e. Cross-disciplinary).

Centers do not have jurisdiction over courses or curricula and cannot offer formal courses for university credit, unless authorized pursuant to applicable university policy. Centers do not have jurisdiction over decisions related to faculty tracks, promotion or tenure, which remains with the appropriate sponsoring unit(s).

Generally, each Center will be associated with and report to at least one college

and its respective dean, or designee, at the university. Under unique circumstances, certain Centers will report to the provost, senior vice president of health affairs or another senior administrator. Faculty interested in establishing a new Center must first informally discuss their proposal with their unit head(s) and college dean(s) or senior administrator(s). If the unit head(s) and dean(s) endorse the concept, a written proposal, including a business plan, must be submitted to the dean(s). If the dean(s) approves the proposal, the dean(s) must present the proposal to the provost and, in the case of a Center within one of the University's healthcare colleges, also to the senior vice president for health affairs for final approval. In the rare case where a potential Center will report to a senior administrator other than the provost or senior vice president for health affairs, the proposal should be sent to that senior administrator for final approval. In the event that final approval for the formation of the Center is provided by a senior administrator, the Provost's office and, in the case of a Center within one of the University's healthcare colleges, the senior vice president for health affairs will be notified of the formation of the Center.

### **3. Criteria for Written Proposal**

The following will be considered in reviewing and approving the creation of a new center under this policy. The written proposal must contain the following relevant facts about the center's operation:

- a. Statement of Purpose/Viability. A narrative regarding the proposed center including a description of the proposed activity, its purpose, goals and rationale, and anticipated periodic outcomes.
- b. Evidence of "Value Added". Generally, the Center should avoid unnecessary duplication, and must advance the missions of the university. Centers should be created when there is a case to be made for why the missions of the university cannot be achieved within existing structures.
- c. Anticipated Faculty and staff participation and qualifications
- d. List of external organizations expected to participate (e.g., industry, foundations, school districts, other universities) and the nature of their involvement (include letters of support and/or commitment)
- e. Draft charter
- f. Plan of governance
- g. Proposed plan for how faculty contributing to, or working in, the Center will be assessed for the purposes of RPT.
- h. Financial and Administrative Commitments. The proposed Center should have adequate administrative funding, and the support of necessary administrative officials (deans, chairs, etc.). If university space, computing, or other administrative support is needed for the proposed Center, a letter from the

responsible dean(s) or senior administrator(s), if applicable, is required to address these resources. Proposals should address specifically the impact of the creation of the Center on university general funds

- i. Where applicable, a statement of the Center's potential for external funding, as well as an explicit plan for pursuit of external funding, consistent with existing opportunities should be included. In addition, because proposals to external entities are not always successful, the proposal should include a clear set of alternatives that will be pursued in the event proposed external funds are not raised
- j. In situations where multiple units are running a center, a clear administrative plan indicating how decisions are to be made, clarifying commitments in resources, and indicating how indirect costs or any other benefits created by the Center will be shared among the units running it.
- k. Other resource requirements and who is going to commit to these resource requirements.

Attachment A contains a template for the proposal with additional detail. Faculty members preparing proposals must consult in advance with their department chair(s) and dean(s) or senior administrator(s).

#### **4. Reporting Requirements for Centers**

- a. The Responsible Party of each Center reports to the dean, or designee, of the college with which the Center is associated. If the Center is associated with more than one college, the Center's Responsible Party must report to whomsoever is referred to in the planning document [see above, section 3(j)]. The Responsible Party of each Center must submit to the dean(s) or senior administrator(s) an annual report no later than September 1 of each year, detailing, at a minimum, the following:
  - 1) Description of the Center's activities, accomplishments, and challenges for the most recently completed fiscal year;
  - 2) Description of the Center's planned activities, goals, and objectives for the current fiscal year;
  - 3) Financial statements of the Center, including the balance sheet, statements of revenue and expenses, expenditures and transfers, fund balances and changes in the financial position of the Center for the most recently completed fiscal year, setting forth in each case in comparative form corresponding figures for the previous fiscal year;
  - 4) The proposed budget for the following fiscal year;
  - 5) The institutional effort provided to the Center by each participating faculty member; and
  - 6) Any other pertinent information requested by the dean(s) or senior

administrator(s), including any necessary response to feedback from a prior review.

- b. The dean's or senior administrator's oversight responsibilities include, but are not limited to, the following:
  - 1) Evaluating the Center's progress as outlined in the annual report against the Center's defined goals and objectives and mission of the college;
  - 2) Assessing the benefit derived from the university's support (e.g., financial and personnel resources) of the Center;
  - 3) Working with the Center's Responsible Party to establish administrative processes;
  - 4) Review and approval of all Center actions related to faculty, staff, students, space and facilities, contract and grant proposals, fundraising, and related activities; and
  - 5) Identification and management of conflicts of interest.

## **5. Discontinuance of a Center**

Centers should be discontinued when they no longer serve the purpose for which they were created. The dean(s) or senior administrator(s) responsible for the Center shall review the continued existence of the Center upon submission of the annual report (see section 4). The dean(s) or senior administrator(s) may submit to the provost a recommendation of Center termination. Upon receiving a termination recommendation, the provost/Sr. Administrator may terminate the Center, in his or her discretion.

Employees and Faculty of the University shall, at all times, adhere to the rules, policies and terms and conditions of their employment with the University including, but not limited to, policies regarding conflicts of interest, collateral employment and submission of outside activity reports.

Upon discontinuation of a center, employment-related issues will be handled pursuant to University policies and procedures.

### **Related Links**

[University Policy Number 1.5.3, Affiliated Entities.](#)

### **Phone Contacts**

Office of the Provost	556-2588
Office of the Sr. VP for Health Affairs	558-2485

**PROPOSAL FOR NEW INSTITUTE OR CENTER**

Attachment A, Establishing and Managing  
Institutes and Centers at the University of Cincinnati

The following provides a template for proposals. The format does not need to be followed exactly because the items below are examples of what should be addressed in the proposal.

AREA	CONTENTS
<b>STRATEGIC PLAN</b>	
DESCRIPTION OF PROPOSED ACTIVITY	<ul style="list-style-type: none"> <li>• Describe the Center’s proposed activity and objective(s) for the first three years of operation.</li> <li>• Explain how this activity supports the University’s current initiatives and long term strategies.</li> <li>• Describe why this activity should be treated independently and cannot be housed and managed within an existing college or department.</li> <li>• Describe how the Center impacts (positively or negatively) the participating faculties’ home academic departments with respect to the coherence and integrity of the departments, impact on teaching programs, ability to attract new faculty, etc.</li> <li>• Explain whether UC has the expertise and resources to become one of the top centers in the state or country in this field.</li> <li>• Describe role of individuals or organizations from outside of the University of Cincinnati.</li> </ul>
FACULTY PARTICIPATION	<ul style="list-style-type: none"> <li>• What is the likelihood of long-term and active participation in the Center among tenured faculty and graduate students?</li> <li>• Are there enough faculty involved to provide a critical mass and enough tenured faculty to assume current and future leadership roles?</li> <li>• Provide a list of participating faculty.</li> <li>• To the extent that a degree program may be associated with the proposed Center, relationships or agreements between the Center or academic department which has formal responsibility for the teaching program need to be established – especially important if the Center’s participating faculty are involved in commitments for teaching.</li> </ul>

	<ul style="list-style-type: none"> <li>• How will faculty contributing to, or working in, the Center be assessed for the purposes of RPT</li> </ul>
AREA	CONTENTS
<p>CHARTER AND PLAN OF GOVERNANCE</p>	<ul style="list-style-type: none"> <li>• Provide justification for why UC should be conducting this activity.</li> <li>• Explain the goals for evaluation of the Center at the end of its initial term, considering the likely evolution and “life cycle” of the proposed programs.</li> <li>• Describe reporting relationships that may be used to provide ongoing evaluation of the Center and its programs – including but not limited to a steering committee, science policy board, or visiting, external or internal review body.</li> <li>• Specify criteria for selection of participating faculty, students and visiting scholars.</li> <li>• Indicate tenured faculty who would be candidates for Director, initially and in future years.</li> </ul>
<b>REQUIRED RESOURCES</b>	
<p>FUNDING</p>	<ul style="list-style-type: none"> <li>• Provide detailed schedule of anticipated sources, amounts and timing of funding. Include General Funds and the nature, size, and targets of any request for externally-funded projects or gifts.</li> <li>• Describe contingency plans for external sources such as gifts or grants. Explain alternative sources in the event that proposed external funds are not available.</li> <li>• Provide schedule of anticipated revenues and expenditures..</li> </ul>
<p>ADMINISTRATION</p>	<ul style="list-style-type: none"> <li>• Include a proposed organizational structure, noting key responsibilities and roles; consider both initial and longer-term needs:                      Administrative Management                      Finance/Budget</li> </ul>

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	Human Resources Administrative Support.
SPACE AND OTHER RESOURCES	<ul style="list-style-type: none"><li>• Space Requirements:<ul style="list-style-type: none"><li>○ Explain the short-term and longer-term needs of this activity, detailing any special requirements (labs, etc.).</li><li>○ Indicate whether there is any space proposed for this activity.</li></ul></li><li>• Describe any special equipment needs.</li><li>• Explain other resources required.</li></ul>