

### **POLICY NAME**

Establishment, Review, and Operation of Centers and Institutes

### **INITIAL ADOPTION AND EFFECTIVE DATE**

TBD

### **POLICY APPLICABILITY**

This policy applies to all University of Louisville units and individuals with responsibility for managing, establishing, and/or approving an organizational structure identified with the terms "Center" or "Institute," or that otherwise functions in such a manner to meet the criteria as set forth in this policy. This policy does not apply to entities defined as Administrative Centers. This policy is intended to work in conjunction with the Service Center Policy, Transfer of F and A Costs Recovery (Indirect) Funds Policy, and Endowment and Similar Funds Management Policy.

### **REASON FOR POLICY**

The University of Louisville (the "University") Board of Trustees' (BOT) By-Laws state that the BOT Academic and Student Affairs Committee "shall consider all recommendations for academic centers, institutes, degree granting programs and other academic entities" (BOT By-Laws, p. 7). The University recognizes the importance of organizational structures specifically identified as Centers and Institutes to fulfill the University's research and service mission. Furthermore, given the public prominence of these organizational structures as well as the funding and resource mechanisms available to them, the University aims to clarify the types of organizational structures that require approval and regular review under these provisions of the By-Laws. Finally, this policy clearly delegates authority to the appropriate University administrators to manage the approval and review of Centers and Institutes and to establish and revise operational procedures and guidelines for such entities.

### **POLICY STATEMENT**

#### **Delegated Authority**

The Executive Vice President and University Provost (Provost), the Executive Vice President for Research and Innovation (EVPRI), and the Executive Vice President for

# University of Louisville

## OFFICIAL UNIVERSITY ADMINISTRATIVE POLICY

Health Affairs (EVPHA) are hereby designated as the University administrators responsible for managing the approval and review processes for all Centers and Institutes at the University and for establishing the regulations and procedures to which such Centers and Institutes must comply.

These three individuals serve as the Centers and Institutes Executive Council with delegated authority to collectively recommend Centers and Institutes to the BOT Academic and Student Affairs Committee for approval, closure, or other actions related to the operation of a Center/Institute at the University. Furthermore, the Centers and Institutes Executive Council have delegated authority for establishing the regulations and procedures to which all Centers and Institutes governed by this policy must comply to remain in operation, which includes the funding mechanisms available to support the operations of Centers and Institutes governed by this policy. Actions of the Centers and Institutes Executive Council must be unanimous. If a unanimous decision cannot be made, the matter will be settled by the University President.

The Centers and Institutes Executive Council have sole and final authority for determining the processes they utilize to make their recommendations to the BOT Academic and Student Affairs Committee regarding the approval and continued operation of Centers and Institutes. The Provost will appoint a representative from the Office of Academic Planning and Accountability (OAPA) to serve as an ex officio member of the Centers and Institutes Executive Council. The ex officio representative from OAPA will be responsible for administering all procedures set forth by the Centers and Institutes Executive Council for the approval, review, and closure of Centers and Institutes.

### **Covered Entities**

This policy specifically governs University Research Institutes, University Research Centers, and University Community Engagement Centers as defined by this policy. Organizations meeting these definitions as set forth in this document, whether they utilize "Center" or "Institute" in their organizational name or not, must be approved by the BOT Academic and Student Affairs Committee, according to the BOT By-Laws. Additionally, the Centers and Institutes Executive Council must provide their recommendation for the BOT Academic and Student Affairs Committee's consideration. The Centers and Institutes Executive Council have sole and final delegated authority from the BOT for determining whether an organizational structure at the University qualifies as a University Research Institute, University Research Center, or University Community Engagement Center under this policy.

### Operational Requirements

All Centers and Institutes designated under this policy must comply with the following requirements. The Centers and Institutes Executive Council may grant exceptions to these requirements.

1. Industry and Government Sponsored Programs
  - a. The Office of Research and Innovation supports the EVPRI who acts as the primary institutional administrator for industry and government-sponsored programs.
2. Academic Programs
  - a. Centers and Institutes cannot house and/or offer academic programs, nor award official academic credentials. All University issued academic credentials must be conferred by the BOT upon recommendation by faculty of the academic departments in compliance with [The Redbook, Section 3.3.2.](#)
3. Advisory Boards
  - a. All advisory boards are non-governing and designed to expand the expertise and societal engagement of the Center/Institute.
  - b. Advisory boards are appointed by the Director and approved by the Centers and Institutes Executive Council upon a recommendation from the Academic Dean or Vice Provost/Vice President of the Headquartering Unit.
  - c. University Research Institutes are required to have a non-governing advisory board.
4. Supervision and Appointment of Director
  - a. The Centers and Institutes Executive Council must approve the appointment, removal, and other personnel related actions of all Directors of Centers and Institutes upon a non-binding recommendation from the Academic Dean and/or Vice Provost/Vice President of the Headquartering Unit. Such actions shall be conducted in accordance with applicable University policies and procedures.
  - b. All Directors report to the Academic Dean, Vice Provost/Vice President, or designee of the Headquartering Unit with a dotted line to the Executive Vice President and University Provost (Provost) who consults with other members of the Centers and Institutes Executive Council if the Provost determines an individual needs to be removed from their

directorship or otherwise have a change in status in their role with the Center or Institute.

- c. The Director of a Center or Institute headquartered in an academic unit must be a tenured or tenure-track faculty member. Exceptions may be made for an established member of the University community. Such exceptions must be approved by the Academic Dean of the Headquartering Unit, the Academic Dean of the unit in which the faculty/staff member is employed if not from the same unit in which the Center or Institute is headquartered, and the Center and Institute Executive Council.
5. Tenured and Tenure-Track Faculty Effort
- a. Tenured and tenure-track faculty are defined as either Core Faculty or affiliated faculty to the Center or Institute. All Centers or Institutes headquartered in an academic unit must have at least one Core Faculty member. (See Definitions section of this policy for a description of Core Faculty and Affiliate Faculty.)
  - b. Tenured and tenure-track faculty effort for the operation of Centers and Institutes must be included in their Annual Work Plans (AWP) and approved according to their academic unit's personnel policies. The following expectations exist for faculty effort in the operation of Centers and Institutes:
    - i. Core Faculty:
      1. Due to the need for a long-term commitment from faculty to ensure the sustainable operations of Centers and Institutes, individuals identified as Core Faculty must have a minimum of a five-year commitment in writing from their Academic Dean toward the operation of the Center or Institute.
      2. Expend 35% or more of their effort on the Center or Institute.
    - ii. Affiliate Faculty:
      1. Only requires an annualized commitment through the AWP.
      2. Generally, expend less than 35% of their effort on the Center or Institute.
6. Associated Faculty and Staff Effort
- a. Centers and Institutes may have dedicated staff, term faculty, and post-doctoral students dedicated to their operation. Such individual's

employment may be contingent upon the continued operation of the Center or Institute. Any personnel-related matters shall be conducted in accordance with applicable University policies and procedures. These individuals should expend effort toward the operation of the Center or Institute commensurate with the percentage of funding for their positions from the Center's or Institute's budget. If they are term faculty, such effort should be reflected in their AWP. For any personnel not supported with Center or Institute resources, the Academic Dean, Vice Provost, or Vice President funding the individual's position must provide a letter of commitment, and the appointment must be approved by the Centers and Institutes Executive Council.

### 7. Centers and Institutes Closure Requirements

- a. Centers or Institutes that are closing must file an official closure of operations plan. The closure of operations plan must address how to utilize any remaining endowment or similar funds in compliance with the Endowment and Similar Funds Management Policy. Additionally, the closure of operations plan must include a transition plan for any Center or Institute associated faculty and staff, as defined by this policy. This personnel transition plan may include a Reduction in Force plan in accordance with the Reduction-In-Force (RIF) Policy, as necessary.
- b. The closure of operations plan must be approved by the Centers and Institutes Executive Council after first being reviewed by the Academic Dean or Vice Provost/Vice President headquartering the Center or Institute and the Centers and Institutes Approval and Review Committee. The Academic Dean or Vice Provost/Vice President and Centers and Institutes Approval and Review Committee provide the Centers and Institutes Executive Council with a non-binding recommendation to ensure minimal institutional impact due to the closure. The Centers and Institutes Executive Council has sole authority to approve the plan. The Centers and Institutes Executive Council recommends the Center or Institute for closure to the BOT, which must approve any closures.

### RELATED INFORMATION

Centers and Institutes Establishment, Review, and Closure Procedures: [Insert Link]

# University of Louisville

## OFFICIAL UNIVERSITY ADMINISTRATIVE POLICY

Centers and Institutes Guidelines: [Insert Link]

The University of Louisville Board of Trustees By-Laws:

<https://louisville.edu/president/boards/board-of-trustees/governance/bylaws>

Service Center Policy: <https://louisville.edu/policies/policies-and-procedures/pageholder/pol-service-center>

Transfer of F and A Costs Recovery (Indirect) Funds Policy:

<https://louisville.edu/policies/policies-and-procedures/pageholder/pol-transfer-of-f-and-a-costs-recovery-indirect-funds>

Endowment and Similar Funds Management Policy:

<https://louisville.edu/policies/policies-and-procedures/pageholder/pol-endowment-and-similar-funds-management>

Reduction-in-Force (RIF) Policy:

<https://louisville.edu/policies/policies-and-procedures/pageholder/pol-reduction-in-force-rif>

## DEFINITIONS

**Center/Institute:** An organization meeting the definition of a University Research Institute, University Research Center, or a University Community Engagement Center as defined by this policy, regardless of whether "Center" or "Institute" is used in the organizational name.

**University Research Institute:** An organizational structure designed to provide research spanning disciplinary boundaries. They may house multiple University Research Centers and/or extend over more than one unit based upon mission-alignment. While they are headquartered in an academic home unit, they have a separate budget and multiple funding sources with most of their funding originating from external sources. They are distinguished from University Research Centers by their intended longevity, resource commitment, size, and scope. University Research Institutes have substantial infrastructure, dedicated administrative and technical staff, commitments of faculty time, and long-standing areas of research.

**University Research Center:** An organizational structure providing research that may span disciplinary boundaries. Their research is generally more limited in scope and more narrowly tailored to specific themes or topics than a University Research Institute. While they are headquartered in an academic unit, they have a separate budget and multiple funding sources with most of their funding originating from

external sources. They may have professional staff, but this is generally less substantial than a University Research Institute, and the staff's time may be apportioned between several organizational entities. University Research Centers must have commitments of faculty time and a demonstrable reason (e.g., access to funding, public awareness, etc.) to exist as a separate entity from their Headquartering Unit and/or home department.

**University Community Engagement Center:** An organizational structure that provides expertise and specific services to the Louisville Metropolitan area, the global community, and/or individuals outside of the University. They may also have a research component, but that is not their primary functional purpose. They often serve the dual purpose of providing critical services to the community while acting as a learning laboratory for students to utilize the skills they acquire in the classroom. They have a separate budget with most of their funding originating from external sources (e.g., service fees, grants, endowments, etc.).

**Administrative Center:** An organizational structure that provides an administrative service to the University to fulfill mission-critical functions. These organizational structures may be termed "Center," but they operate in an analogous manner to a "department," "office," "division," or other nomenclature identifying a discrete portion of the University's organization. Their primary purpose is not to conduct research activities or provide services to the community outside of the University. Such services may tangentially be provided by Administrative Centers, but they are not core to their mission. Administrative Centers do not require BOT approval and are established, governed, managed, and primarily funded in the same manner as "departments," "offices," "divisions," or other organizational structures within the University. This policy does not apply to Administrative Centers.

**Headquartering Unit:** The academic and/or administrative unit in which a Center or Institute is housed. Centers and Institutes must identify a primary academic or administrative unit to act as the Headquartering Unit. While reporting structures may vary internally within an academic or administrative unit, all Centers and Institutes must report through the most senior University administrator of the academic or administrative Headquartering Unit. University Research Institutes and University Research Centers must be headquartered in an academic unit. Exceptions can be made with the approval of the Centers and Institutes Executive Council.

**Core Faculty:** Tenured or tenure-track faculty that expend at least 35% of their annual effort for a planned commitment of five years or more that are engaged in the following types of activities to successfully operate the Center/Institute:

- Participate in the leadership and governance of the Center or Institute.
- Participate in the day-to-day activities of the Center or Institute including the development of conferences or workshops, maintenance of websites, organization of meetings, preparation of newsletters and all other aspects of Center or Institute operations.
- Lead strategic planning to set the vision, mission, goals, measurable objectives, appropriately aligned measures, and targets of achievement.
- Oversee or coordinate the development of internal policies and managerial, financial, and administrative systems.
- Participate in preparing the Annual Assessment Report and the 5-year self-study that is required as part of the 5-year Comprehensive Review.
- Represent the Center or Institute externally to funders, the press, and at scholarly conferences, meetings, or workshops.
- Conduct collaborative research that aligns directly with the Center or Institute mission.
- Engage in outreach activities that align directly with the Center or Institute mission.
- Identify and pursue opportunities for multi-disciplinary collaboration.
- Seek external funding sources for the Center or Institute.
- Establish partnerships with organizations outside of the University (e.g., government, community organizations, professional associations. etc.) that align and further the mission of the Center or Institute.

**Affiliate Faculty:** Tenured or tenure-track faculty that generally expend less than 35% of their annual effort for renewable one-year terms engaged in the following types of activities to successfully operate the Center or Institute:

- Attend and participate in Center or Institute-hosted activities (e.g., annual meetings, conferences, colloquia, etc.).
- Participate in collaborative research, instructional activities, or outreach events with Center or Institute faculty.
- Contribute relevant information for Center or Institute communications such as newsletters, listservs, the Center or Institute website, and annual assessments.

## PROCEDURES

The Office of Academic Planning and Accountability (OAPA) has been designated to coordinate the approval and review procedures established by the Centers and Institutes Executive Council. See Centers and Institutes Establishment, Review, and Closure Procedures and Centers and Institutes Guidelines.



### RESPONSIBILITIES

The Executive Vice President and University Provost, Executive Vice President for Research and Innovation, and Executive Vice President for Health Affairs (i.e., Centers and Institutes Executive Council) are responsible for overseeing, interpreting, and enforcing this policy.

The Office of Academic Planning and Accountability (OAPA) is responsible for coordinating the approval and review procedures established by the Centers and Institutes Executive Council.

### FORMS/ONLINE PROCESSES

TBD

### RESPONSIBLE AUTHORITY

Executive Vice President and University Provost  
Executive Vice President of Research and Innovation  
Executive Vice President for Health Affairs

### RESPONSIBLE UNIVERSITY DEPARTMENT/DIVISION

Office of Academic Planning and Accountability  
305 Miller Information Technology Center  
Louisville, KY 40292  
Phone: 502-852-6169  
Email: [programapproval@louisville.edu](mailto:programapproval@louisville.edu)

### HISTORY

Revision Date(s):

Reviewed Date(s):

The University Policy and Procedure Library is updated regularly. In order to ensure a printed copy of this document is current, please access it online at <http://louisville.edu/policies>.