

Establishment and Review of Centers and Institutes Policy
AND
Establishment, Review, and Closure of Centers and Institutes Procedures

Frequently Asked Questions (FAQ)

For revisions that were made to the centers *Establishment and Review of Centers and Institutes Policy* and *Establishment, Review, and Closure of Centers and Institutes Procedures* based upon feedback from the University community, see the redlined versions being circulated by the Office of Academic Planning and Accountability (OAPA). The FAQ address any questions, comments, and/or concerns that were raised that were not incorporated as subsequent revisions to the documents.

1. What provides the authority for these revisions?
 - a. The [UofL 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). Consequently, ALL centers and institutes should be approved and closed through the BOT in the same manner that the BOT approves and closes ALL “degree granting programs.”
2. What gives the Centers and Institutes Executive Council authority to appoint and/or remove a center or institute director?
 - a. Such authority is granted through the Redbook. The Redbook Section 3.3.5 states, “The chair of any division or department and the **director of any institute** [emphasis added] or school within a unit shall be appointed by the Board of Trustees upon the recommendation of the dean after approval of the Executive Vice President and University Provost and President of the University. Such officers serve at the pleasure of the Board of Trustees and may be removed at any time upon the recommendation of the President.”
3. How will the faculty effort expectations that are outlined in the original policy draft impact the operations of centers and institutes? How can these be varied between units, which may have different expectations for faculty effort?
 - a. This has been addressed with the most recent revisions that eliminate a specified minimum expectation for faculty effort at the institutional level and shifts responsibility for establishing such expectations to headquartering units. This better reflects current delegated authority to the units for personnel policies while establishing minimum expectations at the institutional level through a review/approval of those governing procedures by the Centers and Institutes Executive Council. See the *Establishment and Review of Centers and Institutes Policy* on p. 6.
4. How will these revised policies and procedures impact institutional funding for centers and institutes?
 - a. These policies do not specifically govern the operations of centers and institutes, which includes funding. However, the policy specifically delegates authority to the Centers and Institutes Executive Council to address funding questions and/or concerns. To address these on-going concerns, OAPA has proposed a separate committee comprised of administrators who are responsible for administering that fund as well as broad center and institute and Faculty Senate representation be formed. That committee would consider questions and/or concerns raised about how Centers Research Infrastructure Funds are administered and awarded, gap funding, start-up funds, excellence funds to reward centers or institutes identified for strategic investment, and other concerns raised through this process.

4. Does the revised policy and procedures require centers and institutes to be externally funded?
 - a. No, centers and institutes do not have to be externally funded. Certainly, the availability and use of external funding is an important consideration in the approval and review of centers and institutes, but senior administrators from headquartering units are entitled to prioritize internal funding for centers and institutes, as they deem appropriate, to meet strategic initiatives within their units. The process simply requires administrators to acknowledge the on-gong commitment of such resources (e.g., funding, space, personnel, etc.) when the center or institute is not directly funding those resources.

5. How does this impact administrative service centers? Do we have to change our name?
 - a. One of the primary rationales for establishing an official policy and procedure to govern the approval and review of centers and institutes was to provide necessary clarity about how to comply with the [BOT By-Laws](#) requirements to “consider all recommendations for academic centers [and] institutes.” Providing operational definitions for which “centers” and “institutes” are governed by this BOT requirement through a policy approved by the BOT is a necessary step to ensure UofL is operating in compliance with its own policies. As such, entities like the International Center, Delphi Center for Teaching and Learning, or Center for Engaged Learning would not qualify for approval, review, or closure under these proposed policies and procedures. They will be classified as administrative centers, and they will be reviewed, approved, and closed in similarly to how any other organizational structure at UofL are reviewed, approved, and closed. Organizational entities that already use the name “center” or “institute” will be permitted to continue to use their legacy name, and new administrative entities may be approved to use the name “center” or “institute” with approval from the Centers and Institutes Executive Council.

6. How will the annual reporting process for centers and institutes work?
 - a. The annual reporting process will work very similarly to the current Centers Research Infrastructure Fund (CRIF) annual reporting process. The report will be a high-level executive summary based upon the tangible progress that a center or institute made in the previous year toward meeting the goals and objectives specified in their operational plan. The entire document should be no more than five (5) pages.

7. Is there an expedited process for approval?
 - b. This has been addressed with the most recent revisions. See the *Establishment, Review, and Closure of Centers and Institutes Procedures* on pp. 6-8.