

To: University Community

From: Bob Goldstein, Vice Provost and SACSCOC Liaison

CC: T. Gerry Bradley, Executive Vice President and University Provost
Jeff Bumpous, Executive Vice President for Health Affairs and Dean of School of Medicine
Jon Klein, Interim Executive Vice President for Research and Innovation

Date: December 2, 2024

Re: Revisions from First Draft to the *Establishment and Review of Centers and Institutes Policy* and the *Establishment, Review, and Closure of Centers and Institutes Procedures*

Overview:

The Office of Academic Planning and Accountability (OAPA) in consultation with the Executive Vice President for Health Affairs (EVPHA) and the Interim Executive Vice President for Research and Innovation (EVPRI) drafted the *Establishment and Review of Centers and Institutes Policy* and the *Establishment, Review, and Closure of Centers and Institutes Procedures* during the spring 2024 and summer 2024 academic terms. These revised policies and procedures were necessary to ensure UofL was operating in compliance with the UofL Redbook and the UofL BOT By-Laws.

These documents were circulated amongst the University community, including key stakeholders, beginning in August 2024. The University community provided feedback through the following avenues:

1. The policy and procedures were shared with the chief academic officers (CAO) and the senior leadership team (SLT) to receive feedback.
2. The policy was reviewed as an informational item during the September 19, 2024 BOT meeting.
3. The policy was made available for open comment by the Office of Integrity and Compliance. Sixteen (16) comments were received from members of the UofL community through the open comment period.
4. The policies and procedures were distributed to centers and institutes faculty and staff through the CAOs for comment and review. The CAOs also announced information sessions to all centers and institutes faculty and staff.
5. Three (3) informational sessions were held. To ensure broad participation, one session was in person on the Belknap campus; one session was in person on the Health Sciences Center (HSC) campus; and one session was held virtually through Microsoft Teams. These sessions were attended by 35 faculty and staff members.
6. The policy and procedures were reviewed with the Faculty Senate during their October 2, 2024 meeting.
7. OAPA met with the Office of Research and Innovation and the School of Medicine's Office of Faculty Affairs and Office of Advancement and Research in November 2024 to further refine the policy and procedures.

In total, OAPA received 51 questions, comments, and/or concerns from the UofL community. Based upon this feedback, the policy and procedures were revised as appropriate. This document outlines the substantive revisions

from the original versions that were circulated amongst the community on September 11, 2024. Any revisions that have not been incorporated into the document are addressed in the *Frequently Asked Questions* (FAQ) document that has also been prepared.

Revisions to *Establishment and Review of Centers and Institutes Policy*:

1. Clarified limitations on the use of “centers” and “institutes” for any newly established entities at UofL.
 - a. See revisions on pp. 2-3.
2. Modified advisory board limitations for university research institutes to permit them to be governing with permission by the Centers and Institutes Executive Council if an external funding agency requires the board to have a governing role.
 - a. See revisions on pp. 3-4.
3. Added criteria for the appointment of term faculty or staff members as the director of a center or institute without an exception by the Centers and Institutes Executive Council (note: the policy still allows exceptions).
 - a. See revisions on p. 4.
4. Removed requirements for minimum effort of core and affiliated faculty.
 - a. See revisions on pp. 4-5 and p. 9.
5. Shifted responsibility to headquartering units for establishing governing principles for all subsidiary centers and institutes. Such principles include but are not limited to the following:
 - a. Defining core and affiliated faculty with minimum expectations of faculty effort,
 - b. Specifying the minimum number of faculty required to participate for a center or institute to remain operational,
 - c. Providing processes for centers and institutes to contribute to faculty evaluations, appointments, and other personnel actions not governed by the academic unit’s personnel policies, and
 - d. Addressing processes for decision-making and enfranchisement within the center or institute not governed by the academic unit’s by-laws.
 - e. See revisions on pp. 4-5.
6. Clarified “associated” faculty and staff requirements from original policy draft being applicable to “center/institute-funded faculty and staff.”
 - a. See revisions on p. 6.
7. Removed requirement for a university research institute or university research center to be headquartered in an academic unit.
 - a. See revisions on p. 9.
8. Added statement to explain that OAPA is only responsible for administering policies and procedures related to the establishment and review of centers and institutes, not their on-going operations.
 - a. See revisions on p. 10.

Revisions to *Establishment, Review, and Closure of Centers and Institutes Procedures*

1. Added current representation from centers and institutes faculty and staff to the Centers and Institutes Approval and Review Committee.

- a. See revisions on p. 2.
2. Clarified that funding may come from internal or external sources in the approval criteria.
 - a. See revisions on p. 3.
3. Added recommendation from Faculty Senate in the centers and institutes approval procedures.
 - a. See revisions on p. 6.
4. Provided a probationary period for centers or institutes granted an expedited approval to ensure the full process is completed within one year.
 - a. See revisions on p. 7.
5. Included requirements for centers or institutes identified to be sunset to address the reallocation and/or disposal of equipment and any necessary faculty or staff reductions.
 - a. See revisions on p. 11.

For Additional Comments, Questions, or Feedback:

If you have any additional questions, comments, and/or feedback regarding the revised centers and institutes policy and procedures, please email those to Jen Jones, Accreditation Specialist, at jennifer.jones.6@louisville.edu by no later than Wednesday, January 8, 2025.

Attachments:

1. Centers and Institutes Approval and Review Procedures - Revised Based Upon Community Feedback - v.2 - 11.18.24
 - a. Note: To show the redlined revisions, click the red line on the left margin. For more information, visit [Microsoft Support Track Changes in Word](#).
2. Establishment and Review of Centers and Institutes Policy - Revised Based Upon Community Feedback - v.2 - 11.18.24
 - a. Note: To show the redlined revisions, click the red line on the left margin. For more information, visit [Microsoft Support Track Changes in Word](#).
3. Centers and Institutes Approval and Review Policy and Procedures FAQ