Information

Establishment and Review of Centers and Institutes

Effective

May 5, 2025

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.

Administrative Authority

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

Responsible Unit

Office of Academic Planning and Accountability

305 Miller Information Technology Center

Louisville, KY 40292

Phone: 502-852-6169

Email: programapproval@louisville.edu

History

Revision Date(s):

Reviewed Date(s):

Categories

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.

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 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 or Institute at the University. Furthermore, the Centers and Institutes Executive Council has 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. Actions of the Centers and Institutes Executive Council must be unanimous. If a unanimous decision cannot be made, the matter will be decided by the University President.

The Centers and Institutes Executive Council has 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 for the establishment, review, and closure of Centers and Institutes as set forth by the Centers and Institutes Executive Council.

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 has 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.

Generally, newly established organizational entities should not utilize "Center" or "Institute" in their name unless they meet the definition of a Center or Institute as defined by this policy. If a newly established organization uses "Center" or "Institute" in its name, it will be subject to the requirements and criteria outlined in this policy and the review process outlined in the associated procedures. If the organization is

designated an Administrative Service Center under this policy, the organization must receive approval from the senior administrator of the Headquartering Unit and the Centers and Institutes Executive Council to use the name "Center" or "Institute."

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 a recommendation by the faculty of the academic departments in compliance with The Redbook, Section 3.3.2.

3. Advisory Boards

a. University Research Institutes are required to have an advisory board.

b. Unless required by an external funding agency and pre-approved by the Centers and Institutes Executive Council, all advisory boards are non-governing and designed to expand the expertise and societal engagement of the Center or Institute.

c. Advisory boards are appointed by the director and approved by the Centers and Institutes Executive Council upon a recommendation from the senior administrator of the Headquartering Unit.

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 senior administrator of the Headquartering Unit. Such actions shall be conducted in accordance with applicable

University policies and procedures.

b. All directors report to the senior administrator or designee of the Headquartering Unit with an indirect reporting line (i.e., dotted line) to the 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. Unless an exception is granted, the director of a Center or Institute must be one of the following:

i. Tenured or tenure-track faculty member,

ii. Long-standing term faculty member with five (5) or more years of service to UofL, or

iii. Staff member with five (5) or more years of service to UofL.

Exceptions must be approved by the senior administrator 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. Centers and Institutes By-Laws

a. All Centers and Institutes must have a set of By-Laws approved by the Centers and Institutes Executive Council and the Headquartering Unit. These By-Laws must address the following:

i. Definitions for core and affiliated faculty with minimum expectations of faculty effort for each category.

ii. Minimum number of faculty for a Center or Institute to remain operational.

iii. Processes for contributing to core and affiliated faculty evaluations, appointments, and other personnel actions not governed directly by the academic unit's personnel policies.

iv. Processes for Center or Institute decision-making and enfranchisement of core and affiliated faculty and staff not governed by the academic unit's By-Laws.

b. Academic and administrative units may establish By-Laws to address the requirements in 5.a for all Centers and Institutes Headquartered in the unit.

c. Centers and Institutes By-Laws may not contradict Headquartering Units' Personnel Policies or By-Laws or the UofL Redbook.

6. Center or Institute-Funded Faculty and Staff Effort

a. Centers and Institutes may have staff, faculty, and post-doctoral students dedicated to their operation. These individuals' 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 or Institute's budget. If they are faculty, such effort should be reflected in their AWP. For any personnel not supported with Center or Institute funding, the senior administrator 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 funded 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 senior administrator of the Headquartering Unit and the Centers and Institutes Approval and Review Committee. The senior administrator of the Headquartering Unit and the 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: https://louisville.edu/policies/policies-and-procedures/pageholder/pro-establishment-review-and-closure-of-centers-and-institutes-procedures

Centers and Institutes Guidelines:

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 or 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/administrative 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, funding sources, size, and scope. University Research Institutes have substantial infrastructure, dedicated administrative and technical staff, considerable 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/administrative unit, they have a separate budget and multiple funding sources, and they generally have 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 Commonwealth of Kentucky, 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 unless that research is being performed as a service for the community. They may 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, and a portion of their funding originates from external sources (e.g., service fees, grants, endowments, etc.). University Community Engagement Centers must have 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.

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, except for the limits upon naming conventions.

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 ultimately report through the most senior University administrator of the academic or administrative Headquartering Unit.

Core Faculty: Faculty that expend substantial effort for a long-term planned commitment of multiple years that are engaged in the following types of activities to successfully operate the Center or 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, and/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: Faculty that generally expend less effort than core faculty for a more limited timeframe that are 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 managing, interpreting, and enforcing this policy.

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