

<b>NEOMED RESEARCH POLICY</b>	<b>Policy No:</b> 3349-R-677
<b>RESEARCH POLICY TITLE:</b> Centers and Institutes	<b>EFFECTIVE DATE:</b> 3/13/2023
<b>RESPONSIBLE DEPARTMENTS:</b> Research and Sponsored Programs	<b>Approval Authority:</b> Vice President for Research

**(A) PURPOSE**

The purpose of this policy is to establish a consistent and transparent framework for the creation, review, approval, implementation, maintenance, and termination of Centers and Institutes within the University structure. Consistent guidelines and procedures for establishing, reviewing, and closing Centers and Institutes will ensure that all such units maintain the highest academic standards and best business practices, contributing most effectively to the intellectual vitality of the University.

**(B) SCOPE**

This policy governs the creation and management of all externally and internally funded University and College-based Centers and Institutes. Centers and Institutes, while designed to promote interdisciplinary and multi-disciplinary research, scholarship, education, and service activities of faculty are not tenure-granting units of the University. As with all units of the University, Centers and Institutes must utilize transparent processes of governance and review and reflect the highest standards of excellence and business practices that govern all University entities.

**(C) DEFINITIONS**

- (1) “Centers” refer to organizational units aligned with the strategic mission of the University, apart from the traditional academic hierarchy, that brings together faculty from various disciplines formed to pursue the highest quality research, scholarship, education, or service activities. Centers may be discipline-focused, interdisciplinary, free-standing, or within a Department or College. The Center should have a strategy for sustained leadership and internal and/or external support. The executive functions of the Center are performed by a Director that reports to the Dean. Centers that grow into spanning more than one College may develop into Institutes, if appropriate.

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- (2) “Institute” refers to a strategically aligned organizational unit of the University with participants, resources, and research, scholarship, education, and/or service activities. Institutes provide an important mechanism to facilitate the highest quality interactions and collaborations around themes involving faculty from multiple units across disciplines, Departments, and Colleges, and/or affiliated hospital systems. An Institute has a long-term, sustainable, external funding strategy, centrally located administrative and financial oversight structure, and is responsible to a designated University official. Institutes may be established by the President upon the recommendation of the Provost or Vice President for Research. The executive functions of an Institute shall be performed by a Director appointed by the President, and responsible to the Provost or Vice President for Research.

**(D) POLICY STATEMENT**

- (1) All Centers and Institutes shall:
- (a) Have a plan for research, scholarship, education, or service or creative activity and a mission statement aligning with the College and/or University mission statements, as appropriate;
  - (b) Have the support of a sufficient number and type of faculty and staff to support its activities and mission;
  - (c) Fill a need not already met by other entities within the College or University;
  - (d) Maintain a financial plan addressing issues of immediate and long-term sustainability that includes external support or a commitment of internal support until external support can be realized;

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- (e) Establish metrics for success;
  - (f) Have the support of College and/or University leadership; and,
  - (g) Develop criteria for, and plans to, provide periodic reviews and assessments of the contributions of the Center or Institute.
- (2) All Centers and Institutes will be formally reviewed every year for the first two years of operation and every five years thereafter. The College or University shall consider either closing a Center or Institute or transferring its faculty, staff, and other resources to another organizational unit if:
- (a) It is no longer relevant to the mission of the College and/or University;
  - (b) It cannot sustain itself financially, either by external or internal funds;
  - (c) The scholarly quality of work performed falls below College or University norms;
  - (d) The original interdisciplinary or multi-disciplinary nature has disappeared; and
  - (e) It is unable to attract new faculty, students, or dedicated leadership.
- (3) The Vice-President for Research or Provost will review all requests for the establishment of Centers or Institutes. The Vice President for Research or the Provost will make recommendations to the President who will determine if the request should be granted. The President may consult with the Board of Trustees if the request warrants. The request shall contain the following:
- (a) Executive summary of the scope and purpose of the proposed Research Center or Institute;

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- (b) Mission Statement;
  - (c) Background, including existing efforts and faculty involved at the University;
  - (d) Description of proposed scholarly program, including brief CVs for primary participating faculty members;
  - (e) Description of proposed organizational structure, including leadership;
  - (f) Potential for revenue generation (e.g., external grants, clinical/service income, private and corporate donations, etc.);
  - (g) Resources available/required (space, equipment, administrative support, funds);
  - (h) Requested university funds, if any;
  - (i) Budget/Resource justification for years one (1) through three (3);
  - (j) Strategic Plan/Project Timeline;
  - (k) Goals and Benchmarks for progress; and
  - (l) Internal and external letters of support from informed individuals.
- (4) Centers that have grown in mission and external support may apply to the Vice-President for Research or the Provost, as appropriate, to be considered Institutes.