

UNIVERSITY POLICY (TEMPLATE)

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Policy Name:	Centers and Institutes				
Section #:	10.1.5	Section Title:	Academic Matters	Formerly Book:	1.3.5
Approval Authority:	Senior VP for Academic Affairs		Adopted:	TBD	Reviewed:
Responsible Executive:	Senior VP for Academic Affairs		Revised:	TBD	
Responsible Office:	Office of Institutional Research and Academic Planning		Contact:	Office of Institutional Research and Academic Planning 848-932-7305 https://oirap.rutgers.edu/	

1. Policy Statement

The University shall from time to time establish Centers and Institutes, which may be supported by University budgetary resources, special provision from State appropriations (particularly in the case of such units created as a result of specific legislation), endowment funds, external grants or contracts, and/or some combination of these. Each Center or Institute has its own mission statement, and as appropriate, a set of bylaws, procedures, or statement of governance. This policy provides guidance for establishing approving, monitoring, renewing, and dissolving centers and institutes.

2. Reason for Policy

This policy reinforces the procedures by which centers and institutes are established, approved, monitored, renewed and dissolved. This policy also identifies the individuals and entities that have authority over the missions and policies of University centers and institutes.

3. Who Should Read this Policy

- Chancellors and Vice Presidents
- Deans, Directors and department chairs
- Faculty members
- Academic administrators

4. Resources

- Office of Institutional Research and Academic Planning (<https://oirap.rutgers.edu/>)

5. Definitions

Going forward, an Institute will differ from a Center in that it will have a broader mission than a Center, will have wider interests than is characteristic of a focused Center and may include several smaller units within it.

6. The Policy

10.1.5 CENTERS AND INSTITUTES

Centers and Institutes (CIs) are valued and encouraged at Rutgers University as vibrant and highly productive components of the University community. CIs represent more dynamic structures and provide administrators with greater flexibility and opportunity to adapt to economic and academic competitive pressures. The purpose of this policy, which was primarily informed by recommendations of the Rutgers Committee on Academic Planning and Review (CAPR) report on Centers and Institutes (March 23, 2017), is to provide specific information central to CIs, with a goal to enhance their operation, management, support and impacts.

A. Classification of CIs

For the purposes of this policy, CIs are classified according to their level of approval and reporting relationship. The categories of CIs are as follows:

1. **Presidential-level CI:** Initial approval and renewal or termination of the CI is by the President and the Director reports to the President or to his/her designee. The President will seek the advice of the University Senate before deciding to approve or terminate CIs in this category. Typically, these CIs will have a substantial number of members from more than one decanal unit.
2. **Chancellor or Senior/Executive Vice Presidential-level CI:** Initial approval and renewal or termination of the CI is by the President and a Chancellor or Senior/Executive Vice President, and the Director reports to the Chancellor or Senior/Executive Vice President. The President will seek the advice of the University Senate before deciding to approve or terminate CIs in this category. Typically these CIs have members from more than one decanal unit.
3. **Decanal-level CI:** Initial approval and renewal or termination of the CI is by a Chancellor, upon the recommendation of the Dean(s), and the Director reports to the Dean(s). Typically, these CIs will be almost completely comprised of members from a single decanal unit, but not from just a single department in that unit. Also included in this category are the Centers and Outlying Stations/Farms of the New Jersey Agricultural Experiment Station (NJAES) that are under the administrative authority of the Executive Director of the NJAES.
4. **Departmental-level CI:** Initial approval and renewal or termination of the CI is by the Dean of the unit to which the department belongs, upon the recommendation of the department chair, and the Director reports to the department chair. Typically, these CIs will be almost completely comprised of members from a single department.

CIs that have membership across Chancellor, Decanal, or departmental units may by special arrangement report to more than one supervisor. In cases where membership would suggest more than two supervisors, the CI Director should report to the next highest level of supervision.

The use of the titles "Rutgers" Center and "Rutgers" Institute should be reserved for those entities that are officially recognized by the University and approved by the relevant Dean, Chancellor, appropriate Senior/Executive Vice President, or President.

B. Creation of a Center or Institute

1. A basic requirement for the establishment of a new CI is that it is not unreasonably duplicative of activities already performed elsewhere in the University.
2. A proposal to establish a new CI must include the following basic information:
(i) proposed name of the CI; (ii) name of the Director; (iii) a mission statement; (iv) goals and expected accomplishments; and (v) funding source(s). Guidelines for preparing the proposal may be found at:
<https://oirap.rutgers.edu/CentersandInstitutesGuidelines.pdf>
3. Based on the category of the CI, as described in Section A, a proposal for the creation of a new CI is submitted for approval to either a department chair, Dean, Chancellor, appropriate Senior/Executive Vice President, and/or President. If the CI is approved, the person to whom the CI Director reports submits a letter of approval up through the academic chain of command to the Chancellor, appropriate Senior/Executive Vice President and/or President, and the CI Director. The letter of approval should contain a summary of the proposal including the justification for establishing the CI, a plan for its funding, staff and space needs, the length of time for which the CI is approved (typically not to exceed five years), and the criteria and conditions under which the CI will be evaluated for renewal.
4. The Director, who is appointed by either a department chair, Dean, Chancellor, appropriate Senior/Executive Vice President, or President, will report to and serve at their pleasure.

C. Expectations, Review, Renewal, Suspension or Dissolution of a Center or Institute

1. The Director of the CI shall be responsible for the preparation of a progress report at a time frame determined with the appropriate supervisor to be submitted to the supervisor of the CI Director, with copies to the appropriate Dean(s), etc., as required. While CIs will generally follow an established cycle of review, progress reports and/or reviews may be initiated by the Director's supervisor at any time. Guidelines for information to include in the progress report may be found at <https://oirap.rutgers.edu/CentersandInstitutesGuidelines.pdf>
2. CI operations will be approved for up to a 5 year term. Six months prior to the renewal/termination date of a CI, the CI Director requesting renewal of the CI should submit to the supervisor a self-assessment report that demonstrates how the CI has achieved the goals and met the expectations outlined in the initial proposal for the formation of the CI, and has satisfied the criteria and conditions for renewal given when the CI was approved.
3. The supervisor has three options: (i) suspend, terminate or renew the CI without additional review; (ii) seek an internal review of the CI to provide additional information before deciding on the outcome; or (iii) request that the CI undergo an external review before making a decision.
4. After additional input is obtained and a final decision is made, the supervisor of the CI Director submits a letter either terminating, suspending, or renewing the CI, up through the chain of command to the Chancellor, appropriate Senior/Executive Vice President, or President, with a copy sent to the CI Director. In the case of CIs originally established by the Board of Governors, the BOG should be sent notice of renewal or a request for suspension or termination for their approval.

5. If the CI is renewed, the letter should contain a justification for the renewal (including any internal or external review reports), any changes in funding, staff, or space, the length of time for which the CI is renewed (not more than five years), and the criteria and conditions under which the CI will be evaluated for further renewal.
6. If the CI is suspended or dissolved, the suspension/dissolution should not infringe contractual obligations to faculty and staff. As such, suspension/dissolution of a CI requires a plan to reorganize human resources, institutional and external funding, and infrastructure issues within the organizational framework of the University. This plan must be spelled out in the suspension/termination letter of the CI, along with a justification for suspension/termination (including any internal or external review reports).
7. The review, renewal or suspension/dissolution process described above applies to all CIs (new and existing), unless such a process conflicts with existing contracts or agreements. In the case of CIs with such conflicts, the CI should still be reviewed and the contracts/agreements evaluated.
8. Since many existing CIs do not have an explicit renewal/termination date, (and hence there is no date to start the review process), a date shall be set by the supervisor that takes into consideration the length of time the CI has already been in existence, but that is no more than five years in the future. Ad hoc reviews may be initiated by the CI Director's supervisor at any time.

D. Shared Departmental/CI Responsibilities for Faculty

Faculty tenure resides in an academic department, not in a CI. Because of this shared responsibility, a CI faculty search must be done jointly with the department and Dean where the incoming faculty member's tenure will reside. Before an offer is made, there must be an agreement between the units involved that specifies the distribution of the faculty member's time allocation, salary allocation, space allotment, start-up cost, and responsibilities to the department and the CI. The University's commitment to the joint hire must include a commitment by the appropriate Dean and other responsible parties to cover 100 percent of a tenured or tenure-track faculty member's salary should the appointment of the faculty member revert 100 percent to the department.

E. Renaming Centers and Institutes

Proposals to rename CIs must be approved by the relevant administrative unit and, as appropriate, by the school/college Dean and the responsible Chancellor, appropriate Senior/Executive Vice President, or President. CI names should not overlap with those of existing departments, schools, colleges, CIs, or other units. Approved nomenclature changes must be reported to the University Office of Institutional Research and Academic Planning.

F. Reorganizing or Restructuring Centers and Institutes

Proposals to reorganize or restructure CIs should be approved by the CI Director's supervisor, the school/college Dean, the responsible Chancellor, appropriate Senior/Executive Vice President, and/or President. Reorganizations may include combining two or more CIs into one, creating umbrella structures, splitting a CI into two or more separate CIs, or other significant organizational restructuring, including changes in the CI's reporting structure. Appropriate approvals by each level of review should accompany the request. If restructuring appears to result in the creation of a new CI, then it must be approved according to the guidelines outlined in Section B.

G. Listing of Centers and Institutes.

A current listing of centers and institutes shall be maintained by the University Office of Institutional Research and Academic Planning, together with a record of any such unit which has been suspended or disestablished by action consistent with this policy.