

CENTERS & INSTITUTES - ESTABLISHING, REVIEWING, & DISCONTINUING

POLICY NUMBER: ADM-CENTERS-INSTITS

POLICY TYPE: ADMINISTRATIVE

RESPONSIBLE OFFICIAL TITLE: PROVOST & EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

RESPONSIBLE OFFICE: VICE PROVOST FOR GRADUATE EDUCATION, RESEARCH, & OUTREACH

EFFECTIVE DATE: UPON PRESIDENTIAL APPROVAL – 12/4/2019

NEXT REVIEW DATE: PRESIDENTIAL APPROVAL PLUS FOUR (4) YEARS – 12/4/2023

SUPERSEDES POLICY DATED: 11/8/2017 – ESTABLISHING, REVIEWING, AND DISCONTINUING CENTERS & INSTITUTES

BOARD OF REGENTS REPORTING (CHECK ONE):

PRESIDENTIAL RECOMMENDATION (CONSENT AGENDA/VOTING ITEM)

PRESIDENTIAL REPORT (INFORMATION ONLY)

I. POLICY STATEMENT

Centers and institutes at Northern Kentucky University (NKU) are academic units that are established to strengthen and enrich the University's core mission of teaching, research, and public service. Centers and institutes foster the interdisciplinary collaboration that provides enhanced opportunities for faculty, staff, and students and heighten the University's impact regionally and statewide. Centers and institutes are partnerships that maximize the capacities of NKU as a whole and reduce duplication within it. The University recognizes that centers and institutes require a commitment of resources (including faculty, staff, and space). Therefore, guidelines need to be explicit regarding the criteria for establishing centers and institutes, an understanding of the expectations regarding outcomes, the need for annual reports and periodic reviews, and the mechanisms for discontinuing academic centers and institutes.

II. ENTITIES AFFECTED

Faculty, staff, and administration

III. DEFINITIONS

Centers and institutes share the same purposes: to foster collaboration within a field or across existing organizational boundaries around a problem or service that requires and benefits from multiple perspectives. Centers are hosted entirely within a single academic unit. For the purposes of classification within NKU, the term "institute" refers to a unit with a broader scope of activity than a center and may indicate a unit that contains smaller centers as separate units within its administrative structure. It is expected that most institutes would involve faculty and staff from multiple units, departments, and/or schools/colleges. Centers and institutes endeavor to cross disciplinary and departmental lines in order to advance knowledge in new directions or provide services to new constituencies. Although centers and institutes do not have primary jurisdiction over academic curricula, they may offer courses in cooperation with other academic units.

IV. PROCEDURES

1. Center Oversight

At Northern Kentucky University, centers and institutes are situated as an academic unit reporting to the Provost. College-level centers will report to the Dean of the college. In some instances, transdisciplinary centers/institutes may report to more than one Dean or Provost designee by virtue of a Stakeholders Committee. In these instances, a “lead Dean” may be appointed by the Provost to convene the Stakeholders Committee. The committee will provide oversight for the transdisciplinary center/institute and will advise the director on all matters concerning its operation.

A center/institute will have a director and an advisory board. Center and institute directors are responsible for the day-to-day programmatic, fiscal, and personnel decisions associated with the center/institute mission and core personnel. The center/institute director will coordinate programmatic activities, seek external funding where appropriate, convene periodic advisory board meetings, respond to assessment and administrative program review processes, and ensure the viability of the center or institute in meeting its objectives. The advisory board has advisory responsibilities to the center/institute and makes recommendations to the director on programmatic direction. The advisory board does not have the authority to make hiring offers to directors or other staff or to access, use, or otherwise control funds associated with the center/institute. Centers and institutes will address aspects of their management, such as the appointing and staggering terms of board members, through bylaws, Memoranda of Understanding (MOUs), or other governing documents.

Not later than the fourth (4th) year following the initial appointment, and not less frequently than every five (5) years thereafter, each center or institute will undergo a program review, which will include elements of director performance. The Vice Provost for Graduate Education, Research, and Outreach will maintain the schedule of center and institute reviews, will work with the Provost to initiate the program review, and will meet with the director and the director’s supervisor(s) to discuss the outcome of the review. The director is then responsible for implementing the agreed-upon recommendations.

Final authority for the establishment of a center or institute rests with the NKU Board of Regents, upon recommendation of the President.

2. Establishment of a New Center or Institute

The establishment of a new center or institute requires careful deliberation that includes a justification of need and the potential for making meaningful contribution. The center or institute should not duplicate activities already being performed elsewhere at NKU and should have a focus that is broader than the work of any one individual. Establishing a new center or institute is a two-phase process consisting of a pre-proposal and a full proposal.

To request authorization to establish a new center or institute, a pre-proposal must be submitted to the Provost. The pre-proposal should include the following information:

- Proposed name and type of center or institute (research, instructional, outreach)
- Relevance of the proposed center or institute to the mission of NKU, specifically how it will further the university’s strategic plan

- Mission and goals of the proposed unit and an explanation of how the new unit will be uniquely positioned to meet these objectives
- Description of how the proposed unit might interact with and complement other centers, institutes, and units at NKU and within the commonwealth, and proposed relationships with other relevant units and potential partners
- List of the people and units involved (including the name of the proposed director, if known)
- Organizational structure, including the proposed composition of the advisory board
- Estimated funding needed to initiate and sustain the proposed center or institute for five (5) years and potential sources of funding during that period
- Estimated space, facilities, and equipment needs and plans for meeting these needs
- Proposed timeline for establishing the center or institute

The pre-proposal must include a letter of endorsement from the responsible leader(s) of the proposed administrative location of the center or institute (e.g., Dean for a college-level center, Department Chair or School Director and Dean for a department- or school-level center, Vice Provost or Provost for a university-level center).

The Provost, in consultation with the President, will review the pre-proposal and communicate a decision regarding permission to submit a formal proposal to the faculty/staff wishing to plan and the leadership of the unit(s) where the new center or institute would be established. An expected timeline for completion of the full proposal will be determined at this time. The planning period will have a maximum duration of two (2) years. If a full proposal is not presented within two (2) years, a new pre-proposal must be submitted. Should the pre-proposal be denied, the Provost will provide a written response detailing reasons for the lack of support.

When planning is complete, the faculty/staff proposing the new center or institute will submit a formal proposal to the Vice Provost for Graduate Education, Research, and Outreach. The minimum required documentation for the proposal to establish includes:

- A name for the proposed center or institute that appropriately reflects the unit's mission and scope, and is not similar to the name of an existing unit.
- The name and contact information for the individual who will provide leadership to the center/institute, and a brief description of qualifications.
- A list of all participating or affiliated faculty and staff who have confirmed their interest and commitment to actively participate in the establishment of the new center or institute. Rank, department affiliation, expected contribution, and contact information for each participating faculty and/or staff member must be included in the full proposal.
- Description of the organizational structure, including reporting lines; staffing; description of the membership and function of advisory boards; and an organizational chart showing both the unit's relationship to existing campus units and the internal organization of the unit. Confirmation that all impacted units are familiar with the plan and supportive of the proposal, in the form of letters of support, must be included.
- A mission statement that clearly describes the purpose for establishing the center or institute. An explanation as to how the mission is unique and distinct from other units already established on campus should be included.

- Goals for the new center or institute. What does the center/institute expect to accomplish? The outcomes should be clear and their impact should be measurable. Clearly justify how the center/institute will enhance NKU's reputation.
- The anticipated benefit of the unit's work to the research, instructional, or outreach programs at NKU, and, if inter-institutional arrangements are involved, the anticipated benefit to the participating institutions.
- Description of space, facilities, and equipment needs for the next five (5) years and how those needs will be met.
- A description of how the center will involve and support undergraduate and/or graduate students.
- A five (5)-year budget detailing personnel and non-personnel costs and sources of revenue. Are the necessary funds available? If funds are not already available, explain and justify the source of additional funds that will be required to operate the proposed center or institute. Clearly delineate the resources that will be necessary for the sustainability of the center/institute and plans for obtaining them.
- A description of how the achievement of the unit's mission, goals, and objectives will be measured, documented, and assessed.

The Provost will assess the request, focusing on the degree to which the proposed center will contribute to the University's mission, objectives, and strategic plan; the proposed budget; and the degree to which sufficient funding can be secured to support the proposed center. The Provost will determine whether to (1) approve the request to establish and forward it to the President for approval or (2) deny the request and communicate that decision to those submitting the proposal. If the Provost recommends that the center or institute be established and the President approves the recommendation, the President will forward the recommendation to the Board of Regents for final approval.

3. Center or Institute Governance

Once final approval has been granted for the establishment of a new center or institute, a charter must be created and approved by the Provost. The official charter will be kept on file in the Office of the Vice Provost for Graduate Education, Research, and Outreach, which will also maintain the schedule for periodic reviews.

4. Termination or Realignment of Centers or Institutes

A center or institute may be discontinued for a variety of reasons, including financial viability, lack of fit with institutional mission or objectives, insufficient contributions in terms of mission-driven activity, and lack of faculty/staff support.

The Provost, in collaboration with the center director, will develop a plan for phasing out the unit to allow for orderly termination or transfer of contractual obligations and an effort to find alternative employment for full-time staff. The phase-out period may not be for more than one (1) year after the end of the academic year in which final approval is given to discontinue the center or institute.

The director will provide written notice of intent to terminate or realign the center or institute, with copies to appropriate unit leaders, and to the Vice Provost for Graduate Education, Research, and Outreach.

V. REPORTING REQUIREMENTS

Each center or institute must submit an annual report (based on a template provided) that documents accomplishments and productivity, including funding obtained during the year and a current budget. As well, an updated list of the participating faculty, staff, and advisory board members must be provided, along with an annually updated charter. The report should be submitted to the Provost with a copy to the Vice Provost for Graduate Education, Research, and Outreach no later than June 1 each year.

Active centers and institutes will undergo periodic reviews to ensure ongoing alignment with academic unit and/or institutional missions and resources, success in accomplishing stated objectives, and sound fiscal status and practices. A center or institute must undergo a major review at least once every five (5) years. A major review may occur sooner at the discretion of the university. Additional or more frequent major evaluations may be necessary if mandated by the center's charter, bylaws, or funding agency.

The purpose of the self-evaluation is to collect data related to the center's goals and objectives, with specific attention to purpose for establishing the center and the accountability plan. Continuation of the center must be justified in order for the center to continue to operate. The self-study should be organized as follows:

- Mission, goals, and objectives, and their relationship to those of the university.
- Degree to which the center's mission, goals, and activities are unique or duplicated elsewhere on campus.
- Key accomplishments (related to goals and objectives) in the past five (5) years in research, instruction, and/or public service and engagement (e.g., publications, external funding, outreach services, university/community partnerships).
 1. External funding data should include – proposals and awards including sponsor, amount requested, and amount funded, principal investigators (PIs) and co-PIs and time period.
 2. Include full citations of scholarly work, if appropriate.
- How and to what extent the center promotes transdisciplinary work
- The ways in which the center/institute has enhanced the scholarly reputation of NKU, if appropriate. This should include a listing of conferences/workshops hosted, keynote addresses and invited presentations, and public service.
- Client feedback as appropriate to the mission of the center or institute.
- Organizational structure; number and types of personnel; list of affiliated faculty, including their position and roles.
- Undergraduate and graduate student involvement in center/institute projects, including their source of support.
- Summary budget data for past five (5) years, including amount and sources of funding, changes in funding over the years, number and types of grants and contracts, and administrative costs
- Responsible fiscal oversight as determined by the financial audit and professional evaluation that demonstrate that the center or institute is being managed properly.
- Vision for the future of the center or institute for the next five (5) years, including program improvement plans. Include a bulleted list of any issues/challenges affecting the center's or institute's ability to achieve its objectives in the coming years.
- List of potential external reviewers.

The external reviewers' report will include an overview of the strengths and weaknesses of the center or institute and will address the following:

- Degree to which the mission of the program is realistic, feasible, and capable of meeting the needs of the university and wider community
- Extent to which the center's mission, goals, and activities are unique or duplicated elsewhere on campus or within NKU
- Degree of success in achieving mission and reaching desired outcomes; adequacy of programs and initiatives in fulfilling research, instruction, and/or public service missions and meeting the needs of constituents and stakeholders
- Quality of the student experience and success in career placement (if applicable)
- Effectiveness of leadership, organizational structure, and administrative resources
- Quality of institutional relationships
- Adequacy of funding and facilities
- Feasibility of the program's plans for the future
- Recommendations for improving academic and administrative effectiveness

The steps in the review process are provided below:

- The Vice Provost for Graduate Education, Research, and Outreach (VPGERO) provides the vice presidents with a list of centers and institutes that are scheduled for review in the upcoming year. The VPGERO also provides general guidelines for the review process and the required format for the report.
- The VPGERO discusses goals and expected outcomes of the review process with the Provost and Dean.
- Each center/institute is notified of the upcoming review, reporting requirements, and a deadline for report submission.
- The center/institute submits a draft of the report by the specified deadline to the Provost, Dean, and the VPGERO for comment before generating a final report. (Note: Requests for more information or revision to the report may occur at any step of the review process.)
- The center/institute submits the final report by the specified deadline to the Provost, Dean, and the VPGERO.
- The VPGERO will select at least three (3) persons (internal or external) with expertise in the field presented by the center/institute under review to review the report and deliver recommendations to the VPGERO.
- The VPGERO will discuss the report with the appropriate administrator and the director of the reviewed center/institute and consider what steps should follow the review. These alternatives can include:
 - Continuance without Conditions. A recommendation to continue the center/institute without conditions. The next review would be scheduled in five (5) years.
 - Continuance with Recommended Changes or Actions. A recommendation to continue the center/institute with specific provisions (e.g., specified follow-up actions, abbreviated review period, reorganization, consultant visit).
 - Discontinuance. A recommendation to discontinue the center/institute.
- The recommendation is then forwarded to the President for consideration and final action.

VI. EXCEPTIONS

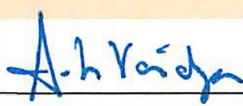
This policy excludes those centers or institutes that are physically located at NKU, but not funded by NKU.

REVISION HISTORY

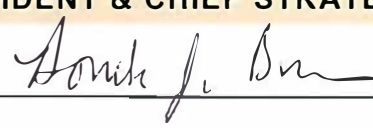
REVISION TYPE	MONTH/YEAR APPROVED
Minor Revision & Name Change	December 4, 2019
New Policy – “Establishing, Reviewing, & Discontinuing Centers & Institutes”	November 8, 2017

CENTERS & INSTITUTES - ESTABLISHING, REVIEWING, & DISCONTINUING

PRESIDENTIAL APPROVAL

PRESIDENT			
Signature		Date	12/4/16
Ashish K. Vaidya			

BOARD OF REGENTS APPROVAL

BOARD OF REGENTS (IF FORWARDED BY PRESIDENT)			
<input type="checkbox"/> This policy was forwarded to the Board of Regents on the Presidential Report (information only) . Date of Board of Regents meeting at which this policy was reported: ____/____/____.			
<input type="checkbox"/> This policy was forwarded to the Board of Regents as a Presidential Recommendation (consent agenda/voting item) .			
<input type="checkbox"/> The Board of Regents approved this policy on ____/____/____. (Attach a copy of Board of Regents meeting minutes showing approval of policy.)			
<input type="checkbox"/> The Board of Regents rejected this policy on ____/____/____. (Attach a copy of Board of Regents meeting minutes showing rejection of policy.)			
VICE PRESIDENT & CHIEF STRATEGY OFFICER			
Signature		Date	1/29/2020
Bonita J. Brown			