

**UNIVERSITY OF MASSACHUSETTS
POLICY ON CENTERS AND INSTITUTES**

I. DEFINITIONS

As used in this policy, the following words shall have the following meaning:

Center or Institute - An organizational unit within one or more campuses or the President's Office created to implement academic and training programs, clinical or community service, or research activities that cannot ordinarily be accommodated within existing departmental structures. Entities called "centers" whose purpose is to provide services to the University community (including day care centers, learning centers, computer centers and other such entities as may be so designated by the Chancellor of each campus) shall not be considered Centers or Institutes for the purposes of this policy.

Further, an ***Institute*** is a distinct and free-standing unit of substantial size. Institutes may engage in a wide variety of research, public service, and instructional activities, typically in areas of broad concern. Institutes are frequently interdisciplinary and embrace ideas and personnel from various departments, colleges, and schools. A ***Center*** is ordinarily a subordinate unit within an existing department, school, college, or institute; interdisciplinary centers may, however, report to the Provost or Chancellor. Centers should make a significant contribution to the major academic unit of which they are a part.

II. CAMPUS AUTHORITY FOR CENTERS AND INSTITUTES

Each campus shall have policies and procedures governing the definition, establishment, review, administration and termination of Centers and Institutes. Every Center or Institute, whether free-standing units or sub-units of schools, colleges, departments or other organizational units, and regardless of its source of funding, shall be included within the purview of campus policies. The exceptional use of the name center or institute by campus entities that do not conform to the definition of Center or Institute set forth above shall be addressed in each campus policy. Campus policies must be approved by the President of the university. The President shall have the authority to establish, review, and terminate Centers and Institutes that are affiliated with the President's Office.

III. CREATION AND APPROVAL OF CENTERS AND INSTITUTES

Campus approval of new Centers and Institutes shall be based, at a minimum, on the appropriateness of the center or institute to the mission and goals of the campus, and adequacy of resources, including capital investment.

The establishment of a new center or institute shall require the approval of the President upon recommendation of the campus Chancellor.

IV. REVIEW OF CENTERS AND INSTITUTES

All campus policies shall provide for the review of Centers and Institutes at least every five years. Centers and Institutes shall be evaluated on their success in meeting their own goals and objectives as well as their substantive contribution to the mission of the campus. Once a Center or Institute has been reviewed, a recommendation to continue said Center or Institute must be approved by the President upon recommendation of the campus Chancellor.

V. TERMINATION

Campus policies governing Centers and Institutes shall include appropriate mechanisms and criteria for the termination of said units.

UNIVERSITY OF MASSACHUSETTS AMHERST
CAMPUS PROCEDURES FOR CENTERS AND INSTITUTES
(Doc. T96-096)

PREAMBLE

The University of Massachusetts Board of Trustees approved a University-wide policy on Centers and Institutes (Trustee Document T96-096, August 7, 1996, revised on October 9, 1996). The Amherst campus policy on Centers and Institutes amended to conform with the University policy was recommended by the Faculty Senate on February 20, 1997 (Doc. 97-027) and approved by the President in June, 1997.

A. DEFINITIONS AND DISTINCTIONS

Centers and Institutes are organizational units on the Amherst campus created to implement academic and training programs, clinical or community service, or research activities that cannot ordinarily be accommodated within existing department structures. Centers and Institutes cannot award degrees or offer majors or courses for regular University credit, nor can they hire tenure-track or tenured faculty.

Institutes

An institute is a distinct and free-standing unit of substantial size. Institutes may engage in a wide variety of research, public service, and instructional activities, typically in areas of broad concern. Institutes are frequently interdisciplinary and embrace ideas and personnel from various departments, colleges, and schools. Ordinarily Institutes on the Amherst campus report to a Vice Chancellor or Provost.

Clear reporting lines and structure for responsible oversight must be established. Institutes may make personnel appointments within this reporting structure, but only degree-granting departments can make official faculty appointments. Institutes traditionally occupy their own identifiable physical space and have the opportunity to bring to it researchers, specialists, fellows, and other associates. The mission of an Institute is the promotion of research in knowledge of some science or subject of broad concern and, often, the communication of this knowledge to a broader public.

Centers

A Center is ordinarily a subordinate unit within an existing department, school, college or institute whose department head/chair, director or dean has management oversight and appointing authority. Centers should make a significant contribution to the major academic unit of which they are a part.

All documents and publications should clearly identify the Center as being part of the parent unit. Any commitment of personnel, space and other resources should have the prior approval of the appropriate chair and dean. Centers should be established for the purpose of concentrating research, teaching and/or service efforts within a clearly defined academic area. They should have an adequate concentration of talent to carry out their mission.

Centers, Institutes, and similar organizations share the following characteristics: their activities are linked to the educational mission of the University and its long range plans; their activities extend beyond the campus in some way, either through public service, funding or other resource arrangements; and their resources are sufficient to carry out their stated mission.

Scope of Campus Authority Concerning Centers and Institutes

Every Center or Institute, whether free-standing units or sub-units of schools, colleges, departments or other organizational units, and regardless of its source of funding, shall be included within the purview of the campus policy.

There are two exceptions on the Amherst campus that involve the use of the name center or institute that do not conform to the definitions above. The first are entities called "centers" whose purpose is to provide services to the campus community, including day care centers or computer centers, such as the Center for Teaching, the Fine Arts Center and the Learning Resources Center. The second involves names that have been "grandfathered" because of historical usage or permitted when required by an external agency, such as the Social and Demographic Research Institute/ SADRI, located in a department.

B. CREATION AND APPROVAL OF CENTERS AND INSTITUTES

Campus approval of new Centers and Institutes shall be based, at minimum, on the appropriateness of the Center or Institute to the mission and goals of the campus, and adequacy of resources, including capital investment. The establishment of a new center or institute shall require the approval of the University President upon recommendation of the campus Chancellor and the Provost or other Vice Chancellor, following review and recommendation by the Faculty Senate according to its Approval Procedure Guide (June, 1997).

Interim approval can be granted, temporarily, pending confirmation of funding, by the Chancellor and Provost, based on a written request by the proposers which includes all information necessary for Faculty Senate review. This Interim approval is conditional and temporary, and requires subsequent formal Faculty Senate recommendation and formal approval by the Provost, Chancellor and the University President.

Proposal Content (General)

A proposal to establish any center or institute may be initiated by one or more faculty members or by the University administration. All proposals should provide the information described below. If responses to the items in the Institutes and Centers Approval Form (Form T) do not do so, other parts of the proposal should clearly address the following points:

1. the purpose to be served and the needs to be met by the proposed entity;
2. the existence of an adequate concentration of talent;
3. the consistency with departmental college and or campus long range plans;
4. the proposed relationship with other academic units on the campus, including the use of faculty on released time.

Resource Implications

Such proposals should also address the potential resource needs of the proposed unit, including personnel, equipment, office and other space, telephones, library resources and use of the University Computing Center.

Approval Procedure

The formal approval process will begin with the submission of 50 copies of a detailed proposal (Form T) New Institutes & Centers Approval Form, to the Rules Committee of the Faculty Senate, with (Form S) New Institutes & Centers Signature Sheet, and a brief executive summary. The summary will be used in a 30-Day Letter. The proposal must then be reviewed at the following levels (See Form S):

1. By the Faculty governance structure, including appropriate Faculty Senate councils and or committees, culminating in the approval by the Faculty Senate. If the proposers have not named a department or college affiliation for the new unit, Faculty Senate councils or committees shall consult the relevant academic department(s) and obtain the approval thereof.

By the Provost

By the Chancellor

By the University President

If the proposal is approved, a copy of the signature sheet (Form S) and any conditions of formation will be forwarded to the originators of the proposal and all who signed it. If the proposal is not approved, a written statement will be sent by the Provost to the originators and the signers. In either case, all memoranda, the original proposal and the signature sheet will be placed in the permanent file for this proposed entity, held in the Provost's Office. If any institute or center is proposed to be housed on the Amherst campus by some outside agency, legal body, or office (persons other than faculty members or administrators on the University of Massachusetts at Amherst campus), the date and circumstances must be recorded in writing, along with an official submission to the Faculty Senate as described above, and records relating to it placed in the Provost's Office.

Appointments

Regardless of the source of funds, all tenure-track appointments affiliated with institutes, centers or similar organizations carry academic rank shall be reviewed and recommended by appropriate faculty peer groups (i.e., Departmental Faculty personnel and School or College Faculty personnel committees). In the case of other professional appointments, the appropriate school or college administrator and Department administrators shall be advised of the appointments.

Allocation of Space

The allocation of space for Institutes, Centers or similar organizations shall be treated in precisely the same way as other academic units.

UNIVERSITY OF MASSACHUSETTS BOSTON
CAMPUS PROCEDURES FOR CENTERS AND INSTITUTES
(Doc. T96-096)

Revised¹: September 22, 1994

I. PREAMBLE

The purpose of this policy is to define the activities of institutes and centers, to locate them in the administrative structure of the university, to provide for their regular review, and to specify the nature of appointments to institutes.

II. DEFINITIONS

Institute – An institute refers to a distinct and freestanding unit of substantial size, established to enhance the urban land grant university's mission of teaching, research, and service. Institutes will normally be interdisciplinary and applied in nature, often with a substantial public service component. They may vary in emphasis, structure, and activities. Indeed, an essential point of institutes is flexibility—to utilize different combinations of research, service, and teaching resources to focus intensely on policy issues and problems in a defined area.

Center – A center is viewed as a subordinate unit within an existing department, college, or institute². A center should make a significant contribution to the major unit of which it is a part and have an adequate concentration of talent to carry out its mission.

III. SCOPE

A center or institute is an organizational unit that engages in teaching, research, or public service activities. Centers and institutes are, however, distinct from the traditional academic units, such as colleges or departments. Other units bearing the title center, such as the campus day-care center, are not governed by the requirements of this policy.

IV. POLICY ON INSTITUTES

Establishment of Institutes

Proposals to establish institutes will be submitted to the provost for review. Criteria for the establishment of new institutes will include the appropriateness to the mission and goals of the campus, and the adequacy of resources, including capital investment. Upon review of the proposal, the provost will seek the advice and recommendations of the Faculty Council. However, the decision to recommend the establishment of an institute to the chancellor remains with the provost. The president of the university will be informed of the decision to establish a new institute.

Governance and Administration

Each institute director will report to the vice provost for research. If an institute has explicit functions beyond the area of academic affairs, dotted reporting lines to the appropriate vice

¹ Titles of officers and administrators updated and format errors corrected May 7, 2004.

² Three units on the UMass Boston campus that are designated as centers actually function as institutes. They are the Center for Survey Research, the Center for Social Development and Education, and the Joiner Center. These units will retain their names, which have been used for many years and which have a wide recognition on and off campus. They will, however, continue to function as institutes according to the definition given in this policy.

chancellor may be established. As directors of independent freestanding entities, institute directors normally do not report to a college dean.

An Institutes and Centers Council, composed of the directors of all campus institutes and centers, will be established. The council's primary purposes will be to promote communication across institutes, to respond to campus policy and governance issues, and to encourage growth and development of the institutes and centers.

Activities

Institutes may promote, advance, solicit, and support research, often involving several disciplines or academic units. Institutes may also publish journals, reports, books, and related publications.

Institutes may support interdisciplinary or multidisciplinary instructional programs by providing instruction or resources to support or enhance degree granting or certificate programs. However, the authority to award degrees is vested in the colleges and the office of graduate studies.

Institutes may support service activities by engaging technical resources within and outside of the university to respond to issues external to the university. Such activities include community service, agency partnerships, technical assistance, outreach, and special events. Institutes may offer workshops, symposia, colloquia, mini-courses, and educational programs to the public as a pro bono service or on a fee basis.

Resources and Personnel

Institutes, as distinct budgetary units, may occupy their own identifiable space, may have professional and classified staff, and may engage faculty from academic departments. Hiring of professional and classified staff by institutes will be done in accordance with the affirmative action and hiring procedures followed by all university units. Institutes may retain consultants and engage contractors. However, only academic units may make official recommendations on faculty appointments.

Each institute will establish a faculty advisory committee that will meet regularly and be consulted on institute programs and plans. This committee will facilitate faculty interchanges between departments, as well as the use of professional staff with appropriate academic credentials as adjunct faculty. These arrangements will be subject to the approval of the institute director in consultation with the faculty advisory committee.

Institutes may appoint fellows for specified lengths of time to participate in the service or research activities of the institute. The selection of unpaid fellows is at the discretion of the institute directors, but such appointments require the approval of the vice provost for research and the concurrence of the provost.

The institute director is responsible for the management of the institute budget.

Review of Institutes

Each institute will be subject to periodic review by a committee external to the institute, established by the vice provost for research in consultation with the director of the institute. Such review will occur at least once within a period of five years from the institute's formal establishment. The criteria for evaluation of an institute will reflect the mission and purpose of the institute as well as its success in making a substantive contribution to the mission of the campus. The president of the university will be informed of the outcome of such reviews.

Institute directors are normally appointed for a period of three years subject to review and renewal upon the recommendation of the vice provost for research to the provost. There will be an annual review of performance of the institute director by the vice provost for research.

Each institute director will submit an annual plan of activities at the beginning of each academic year and will provide quarterly reports on the progress made toward meeting the goals established in the annual plan. Each institute will also prepare a five-year plan for program development and funding (both state and non-state). Such a plan should articulate how an institute intends to acquire non-state funding to enhance its total resources within five years. These plans and reports will be submitted to the vice provost for research.

Termination of Institute

A recommendation to terminate an institute will be made by the vice provost for research to the provost. The procedure will follow the same steps as the establishment of an institute. The provost will seek the advice and recommendations of internal and external bodies, including the Faculty Council, but the decision to recommend to the chancellor the termination of an institute remains with the provost. The termination of an institute will be reported to the president of the university.

V. POLICY ON CENTERS

Establishment of Centers

As subordinate units, centers will be established through normal governance procedures of the parent unit. The criteria for approval of a new center will include the appropriateness to the mission or goals of an existing department, college, or institute, and the adequacy of available resources. The proposal is approved when it receives the approval of the department chair and the appropriate academic dean or institute director. Establishment of new centers will be reported to the provost, the chancellor, and the president of the university.

Governance and Administration

The department chair and the dean or director of the unit that supervises the center retain full authority and responsibility for the oversight of the center's management and the expenditure of any funds associated with the center. All documents and publications, such as grant and contract proposals, brochures, and news releases, must clearly identify the center as being part of the parent unit.

Activities

A center may be established for the purpose of concentrating research, teaching, or service efforts within a clearly defined academic area.

Resources and Personnel

Any commitment of personnel, space, or other resources must have the prior approval of the appropriate chairperson or director.

Review of Centers

Each center will be subject to periodic review by a committee established by the appropriate academic dean in consultation with the department chair (or by the institute director if the center is within an institute). Such review will occur at least once within a period of five years from the center's formal establishment. The criteria for evaluation of a center will reflect the mission and purpose of the center as well as its success in making a substantive contribution to the mission of the

parent unit. Reviews of centers will be reported to the provost, the chancellor, and the president of the university.

Termination of a Center

A decision to terminate a center is made by the dean or department chair of the unit in which the center is housed. The termination of a center will be reported to the provost, the chancellor, and the president.

**UNIVERSITY OF MASSACHUSETTS DARTMOUTH
CAMPUS PROCEDURES FOR CENTERS AND INSTITUTES
(Doc. T96-096)**

I. SCOPE OF THE POLICY AND DEFINITIONS

The University of Massachusetts Dartmouth Policy on Academic Institutes and Centers is established pursuant to the University of Massachusetts Trustee "Policy on Centers and Institutes" (T96-096, adopted on August 7, 1996). The Trustee policy states that:

"Each campus shall have policies and procedures governing the definition, establishment, review, administration and termination of Centers and Institutes. Every Center or Institute, whether free-standing units or sub-units of, schools, colleges, departments or other organizational units, and regardless of its source of funding, shall be included within the purview of campus policies."

University of Massachusetts Dartmouth Policy on Academic Institutes and Centers applies to all Institutes and Centers as defined below:

A Center or Institute is an organizational unit affiliated with the University of Massachusetts Dartmouth created to implement research or public service projects that cannot ordinarily be accommodated within existing departmental structures. A Center is ordinarily a subordinate unit within an existing department, school, college, or Institute; interdisciplinary centers, however, may report to the Provost. An Institute is a distinct and free-standing unit of substantial size. Institutes may engage in a wide variety of research, public service, and instructional activities, typically in areas of broad concern. Institutes are frequently interdisciplinary and embrace ideas and personnel from various departments, colleges, and schools.

Entities called "centers" whose purpose is to provide service to the University community (including day care centers, learning centers, advising centers, and other such entities as may be so designated by the Chancellor) shall not be considered Centers or Institutes for the purposes of this policy.

II. ESTABLISHMENT OF NEW ACADEMIC INSTITUTES AND CENTERS

A. INITIAL PROPOSAL. The establishment of a new academic Institute or Center at the University of Massachusetts Dartmouth shall be initiated by members of the faculty with a written proposal submitted to the Chancellor. At a minimum, the proposal shall include:

1. a mission statement that shall define the goals and objectives of the Institute or Center,
2. an explanation of how the Institute or Center will advance the mission and goals of the campus and an explanation of why said mission and goals cannot be advanced through an existing department, Institute or Center,
3. a proposed annual budget which documents the anticipated sources of revenue and expenditures, including capital equipment operating expenses, and personnel cost, and documentation that such revenues are adequate to the proposed mission,
4. an estimate of office space required on campus for the new Institute's or Center's operation,
5. a proposed governance and administrative reporting structure for the Institute or Center, and
6. explicit recognition of the administrative reporting, annual reporting and five-year review processes described in Section III and IV below.

- B. APPROVAL.** The establishment of a new academic Institute or Center shall require the approval of the Chancellor and the President.
- C. GOVERNING BOARD.** For new academic Institute or Centers, the governing board shall be established as follows:
1. three members elected by the initiating faculty,
 2. three members appointed by the Chancellor or his/her designee, and
 3. three members jointly agreed upon by the initiating faculty and the Chancellor or his/her designee.

Following the expiration of the terms of the first governing board, members will be selected according to the process established in the approved governance and administrative structure.

III. REGULATIONS AND REPORTING PROCEDURES

The following reporting procedures apply to all academic Institutes and Centers, both currently existing or to be created in the future.

- A. MISSION STATEMENT.** All academic Institutes and Centers shall have a written mission statement that defines its goals and objectives and that is consistent with the mission of the University of Massachusetts Dartmouth.
- B. DIRECTOR.** All academic Institutes or Centers shall be headed and administered by a Director. For purposes of administering the Institute or Center, the Director shall report to an appropriate Chairperson, Dean, the Provost, or, in special circumstances, the Chancellor, as approved by the Chancellor.
- C. ANNUAL REPORT.** By July 31 of each year, the Director of each Institute or Center shall prepare an annual report for the fiscal year just completed (June 30). The annual report shall include the following information:
1. a statement of how the Institute or Center has accomplished its goals and mission, including a brief description of all completed and continuing projects,
 2. a fiscal year financial report that identifies: the amount of total revenue received using the Integrated Postsecondary Education Data System (IPEDS) sources of revenue categories,
 3. a fiscal year financial report that identifies total expenditures using the letter level categories of the University's Financial Reporting System (FRS),
 4. the names of all employees and consultants affiliated with the Institute or Center during the fiscal year,
 5. a list of all physical space occupied and used by the Institute or Center, and
 6. a statement of goals and a projected budget for the next year.
- D. DISTRIBUTION OF THE ANNUAL REPORT.** The Director of each Institute or Center will submit the annual report to:
1. the Director's immediate supervisor,
 2. the unit's governing board,
 3. the University Budget Review Board, and
 4. the University of Massachusetts Dartmouth Library for its collection.

REVIEW OF THE ANNUAL REPORT. If any of the persons to whom the Director reports recommend termination of the Center or Institute, based on annual reports, then the procedure for a five-year review, as described in Section V, will be initiated immediately. The individual recommending termination shall notify the Chancellor, the Director, and the Governing Board of the Institute or Center of their recommendation for termination in writing, including specific reasons for the recommended termination. The failure to submit an annual report shall be considered evidence that the Institute or Center has not engaged in any research or public service projects during the previous fiscal year and shall automatically trigger the five-year review process.

IV. EVALUATION OF CENTER EMPLOYEES AND AFFILIATES

- A. EVALUATION OF THE DIRECTOR.** Directors of Institutes and Centers who are members of the University of Massachusetts Faculty Federation collective bargaining unit shall be evaluated under the terms, criteria, and categories of the Agreement between the University of Massachusetts Board of Trustees and the University of Massachusetts Faculty Federation, American Federation of Teachers, Local 1895. The Director's immediate supervisor, as well as members of the Institute's or Center's governing board shall submit letters of evaluation to the Director's Department Faculty Evaluation Committee, to be included as part of the annual evaluation dossier. A copy of the Director's annual evaluation shall be forwarded to the Director's immediate supervisor.
- B. EVALUATION OF BARGAINING UNIT EMPLOYEES.** Employees or affiliates of an Institute or Center will be evaluated under the terms, criteria, and categories of the appropriate collective bargaining agreement. For all faculty, librarians, or technicians employed or affiliated with an Institute or Center, the Director will submit an annual letter of evaluation to the individual's Departmental Faculty Evaluation Committee, but such letter shall be limited to a review of the individual's direct participation in the Institute's or Center's activities. For each Research Associate and Technical Associate employed by an Institute or Center, the Director will prepare a written annual evaluation of the individual's performance in accordance with the performance and evaluation criteria in the individual's employment contract.
- C. EVALUATION OF NON-BARGAINING UNIT EMPLOYEES.** By May 31 of each year, the Director shall evaluate all non-bargaining unit, non-student, employees according to criteria developed by the Institute or Center.

VI. FIVE YEAR REVIEW OF ACADEMIC INSTITUTES AND CENTERS

Each Institute and Center shall undergo a comprehensive performance review every five years. Institutes and Centers are expected to make a significant contribution to the mission of the University of Massachusetts Dartmouth.

- A. FIVE-YEAR REVIEW TEAM.** An Institute's or Center's five-year review shall be conducted by a 5-member review team consisting of:
1. the Director's immediate supervisor,
 2. a member of the University of Massachusetts Dartmouth faculty appointed by the Institute or Center Director,
 3. two members of the full-time tenured faculty selected at random by "Greek ballot" at a regular

- meeting of the Faculty Senate, and
 4. a University administrator appointed by the Chancellor or his/her designee.
- B. PURPOSE OF THE REVIEW.** The review team shall prepare a written report that evaluates the extent to which the Institute or Center has fulfilled its mission over the previous five years, including its ability to complete research and public service projects successfully, its ability to involve faculty and students in its research and public service projects, and its ability to generate external funding appropriate to its goals. In conducting the review, the review team shall inspect the Institute's or Center's work space, review its records and annual reports, interview members of the governing board, interview employees and affiliates, and solicit external input from client agencies who have worked with the Institute or Center during the last five years. The review team may recommend continuance of the Institute or Center for another five years, its modification and restructuring, or its termination.
- C. DISTRIBUTION OF REVIEWS.** The written report of the five-year review team shall be distributed to individuals in the following order:
1. the Institute's or Center's Director and Governing Board, each of whom may submit additional written comments on the review,
 2. the Director's immediate supervisor (e.g., Chair, Dean, Provost or Chancellor), and
 3. the Provost, who will Consider the review, its recommendations, and any appended comments, and forward his/her written recommendation to the Institute's or Center's Director and to the Chancellor.

The Provost will forward copies of the review, and all additional written comments and recommendations, to the President of the Faculty Federation and the President of the Faculty Senate for information purposes only.

- D. CONCLUSION OF THE REVIEW.** The Institute's or Center's Director and Governing Board shall have twenty days to respond to the five-year review and to the written comments and recommendations of the Provost by submitting a written response to the Chancellor. After this twenty- day period the Chancellor shall make a final recommendation concerning the Institute or Center. Based upon the five-year review, and additional materials submitted to him/her by the Director, Governing Board, and Provost, the Chancellor may:
- (1) recommend to the President the continuance of the Institute or Center for another five years;
 - (2) recommend modification and restructuring of the Institute or Center; or
 - (3) terminate the Institute or Center without further review or appeal.

VI BONA FIE INSTITUTES AND CENTERS

By September 30 of each year, the Provost shall provide a list of the academic Institutes and Centers authorized and operating under the terms of this policy. The 30 September list shall also include the name of the Director of each academic Institute and Center and the name and position of the Director's immediate administrative supervisor. The 30 September list shall also identify which Institutes or Centers are scheduled for a five-year review during the current academic year. This list will be sent to the President of the Faculty Federation and the President of the Faculty Senate.

As agreed to by P.H. Cressy, B.F Taggie, C.W. Barrow, and R. DiPippo: November 30, 1998

UNIVERSITY OF MASSACHUSETTS LOWELL
RESEARCH CENTER GUIDELINES
(Doc. T96-096)

RESEARCH CENTER MISSION

Research Centers at the University of Massachusetts Lowell further the mission of the University and advance the research objectives set forth in the strategic plan- UMass Lowell 2020. The Research Centers differ from one another in focus, scope, and staffing, but each contribute in unique ways to the common goals of expanding knowledge, generating new discoveries, and/or having a positive impact on society through informing policy and systemic change. Communities of researchers and staff in Research Centers provide a stimulating environment that encourages early researchers and challenges the experienced researcher. Research Centers also contribute to the education and training of the researchers of the future by serving as learning environments for students. Interdisciplinary collaborations are promoted by the Research Centers both within the University and among institutions external to UMass Lowell.

RESEARCH CENTER CRITERIA

- Research Centers have a clear mission and goals that are aligned with the mission and goals of UMass Lowell and can identify strategies to advance goals of the Research Center
- A new research center must add value to the University beyond what already exists
- Research Centers have the potential to elevate UMass Lowell as a leader in their specific research and scholarship areas among peer institutions and have the capacity to enhance the reputation of the University
- Research Centers strive for regional, national, and international recognition
- Research Centers serve as an umbrella for a critical mass of activity related to a particular area of scholarship/research (e.g. multiple grants, publications, projects)
- Research Centers show evidence of scholarly activity. All members of the Research Center contribute to the scholarship of the Center and actively generate a body of knowledge in the research focus area
- Research Centers successfully generate external research funding to further the mission of the Center
- Research Centers involve and benefit students by serving as a learning environment
- Research Centers report to the Academic Deans within the Colleges/Schools in which the Center is established to ensure integration with the academic mission and infrastructure.

GUIDELINES FOR THE ESTABLISHMENT OF NEW RESEARCH CENTERS

1. Organize a group of researchers who have expertise in the focus of the proposed Research Center. Each member should have a background that will further the mission of the Research Center and be able to demonstrate a history of research studies, funding, and publication in the research area. Research Centers that bring together researchers from several disciplines are preferred, as they have the capacity to enhance diversity and interdisciplinary research opportunities. A Center Director and Co-Director (if appropriate) should be identified.
2. The Research Team should meet to establish the mission and goals for the Center, as well as determine space and administrative support needed to enhance sustainability.
3. A proposal for a new center must be submitted to the appropriate Academic Deans, Chairs, and the Vice Provost for Research prior to a meeting with the Vice Provost for Research. The proposal must include.
 - The name of the proposed Center
 - The researchers, University rank, Department and expected contribution to the Research Center of each member, including strengths that the researchers bring to the Center
 - Director or Co-Directors
 - The mission and goals of the proposed Research Center.
 - The need for the Research Center and an explanation of why the Research Center structure is required to complete the planned research activities. Include a description of the strength that establishing a Research Center would bring to the University and the value that is added to the University by the Center.
 - Interdisciplinary research activities that provide evidence of the potential for collaboration of researchers within the Research Center
 - A biosketch of each Center researcher, not to exceed 4 pages per researcher.
 - A record of past funding and the potential for attracting external funding, including sources of potential funding to further the goals of the Research Center.
 - Resources that have been secured from external sources and a rationale for resources requested of UMass Lowell
4. The appropriate Chairs and Academic Deans should be engaged in discussion about the Research Center to seek support, including commitment regarding space, funding, and administrative support.
5. Following obtaining support from the appropriate Academic Dean(s), a meeting should be planned with the Vice Provost for Research to engage in a discussion related to the support required from administration, if the new center is approved.
6. Inform the University community about the proposed formation of the new center to encourage feedback and additional membership through web- based communications and by hosting a seminar for University faculty, administration, and staff related to the goals, proposed research, and plans to address the goals of the Research Center.
7. Decisions about approval of the Center will be made by the Vice Provost for Research with input from a Research Center Advisory Committee. The 7-10 faculty member Research Center Advisory Committee will be appointed by the Vice Provost for Research.

ANNUAL RESEARCH CENTER REPORT

All Research Centers are required to submit an annual report (June 1- May 31). The annual report must be submitted by June 30 each year to the Academic Dean of the appropriate Colleges/ Schools with a copy sent to the Vice Provost for Research. The annual report will be reviewed by the

Academic Deans and the Research Center Advisory Committee with feedback provided to the Vice Provost for Research.

The Annual Research Center Report should include the following using the Annual Report template:

- The Center Mission, noting any changes in mission, goals, or focus of research activity that have occurred over the previous year.
- Progress toward goals from the previous year.
- Activities to forward Center goals that are proposed for the following year.
- List of all researchers and staff involved in the Center over the past year, including a summary of how each person contributed to the Center's goals. Each researcher should describe contributions to the body of scholarship supported by the Center and benefits derived from the Center. List student involvement in the Center and community and industry partnerships. Include an overview of University resources allocated to the Center, including space and administrative support.
- Publications and professional conference presentations that are a part of the Center's programs for the previous year (please do not include articles or presentations prior to the past year). List articles that are published or in press only.
- A listing of new research funding received, including source, amount, and title of project for the past year only.
- Total amount of current internal and external funding.
- A listing of up to 10 highlights that reflect the accomplishments of the Center over the previous year that should be promoted by the University internally and externally.

THREE- YEAR REVIEW OF EXISTING RESEARCH CENTERS

All Research Centers will be reviewed by the Research Center Advisory Committee, Academic Dean, and the Vice Provost for Research every 3 years. The annual reports for the previous three years will be reviewed. A letter from the Director of the Research Center to the Academic Dean(s) of the College and the Vice Provost for Research summarizing the accomplishments and work of the Research Center over the previous 3 years should be submitted with the Annual Report in the Center review year. The 3- year review will provide feedback on whether the Center continues to meet Research Center criteria. Those Research Centers who are no longer meeting Research Center criteria will be issued a warning letter from the Vice Provost for Research with recommendations for action to meet Research Center status. The Research Center with warning status will then undergo review in 1 year and action on continuation of Research Center status will be determined by the Vice Provost for Research with recommendations from the Academic Dean(s) and the Research Center Advisory Committee.

The purposes of the Research Center 3 -year review are:

- To provide feedback to Research Centers for self-evaluation
- To provide feedback to administration on the performance of Research Centers
- To recognize active Research Centers to justify future support or expansion
- To assess appropriate utilization of resources
- To assess inclusiveness of members across Departments and Colleges as appropriate, including new faculty involvement

INITIAL REVIEW OF EXISTING CENTERS

All existing Research Centers will undergo review summer 2012. Each Center should submit their annual report with a letter from the Director of the Research Center to the Academic Dean(s) of the College and the Vice Provost for Research summarizing the accomplishments and work of the Research Center over the previous 3 years no later than June 30, 2012. Feedback from the review will be provided by the Vice Provost for Research by September 1, 2012.

Center Subcommittee of Research and Commercialization Committee

| | |
|--------------------|--|
| Meg Bond | Psychology |
| Linda Concino | ORA |
| Khanh Dinh | Psychology |
| Mignon Duffy | Sociology |
| Susan Houde, Chair | School of Health and Environment |
| Pradeep Kurup | Civil Engineering |
| Elaine Major | OIC |
| Chris Niezrecki | Mechanical Engineering |
| Mingdi Yan | Chemistry |
| Julie Chen | Co-Chair of Research and Commercialization Committee |
| Julie Nash | Co-Chair of Research and Commercialization Committee |

UNIVERSITY OF MASSACHUSETTS LOWELL
RESEARCH INSTITUTE GUIDELINES
(Doc. T96-096)

Research Institute Mission

Research Institutes at the University of Massachusetts Lowell further the mission of the University and advance the research objectives set forth in the strategic plan- UMass Lowell 2020. A Research Institute has a long term relationship with one or more universities or collaborating institutions external to UMass Lowell. A Memorandum of Understanding (MOU) or equivalent is required with each collaborating university or institution. Research Institutes differ from Research Centers and from one another in focus, scope, and staffing, but each contribute in unique ways to the common goals of expanding knowledge, generating new discoveries, and/or having a positive impact on society through informing policy and systemic change. Communities of researchers from UMass Lowell and from collaborating Universities and other institutions, provide a stimulating environment that encourages early researchers and challenges the experienced researcher. Research Institutes also contribute to the education and training of the researchers of the future by serving as learning environments for students.

Research Institute Criteria

- Research Institutes have a clear mission and goals that are aligned with the mission and goals of UMass Lowell and can identify strategies to advance goals of the Research Institute;
- A new Research Institute must add value to the University beyond what already exists;
- Research Institutes have the potential to elevate UMass Lowell as a leader in their specific research and scholarship areas among peer institutions and have the capacity to enhance the reputation of the University;
- Research Institutes strive for regional, national, and international recognition;
- Research Institutes serve as an umbrella for a critical mass of activity related to a particular area of scholarship/research (e.g. multiple grants, publications, projects);
- Research Institutes show evidence of scholarly activity;
- Research Institutes successfully generate external research funding to further the mission of the Institute;
- Research Institutes involve and benefit students by serving as a learning environment;
- Research Institutes report to the Academic Deans within the Colleges/Schools in which the Institute is established to ensure integration with the academic mission and infrastructure;
- Research Institutes maintain long-term, effective, and strong collaborations with institutions external to UMass Lowell that further the mission and goals of the Research Institute.

Guidelines for the Establishment of New Research Institutes

1. Organize a group of researchers from UMass Lowell and colleagues/researchers external to the University who have expertise in the focus of the proposed Research Institute. Each member should have a background that will further the mission of the Research Institute and be able to demonstrate a history of research studies, funding, and publication in the research area. Research Institutes that bring together researchers from several disciplines are preferred, as they have the capacity to enhance diversity and interdisciplinary research opportunities. An Institute Director, Co-Director, or leadership structure appropriate to the Research Institute should be identified.
2. The Research Team that includes researchers from UMass Lowell and colleagues/researchers external to UMass Lowell should meet to establish the mission and goals for the Institute, as well as determine space and administrative support needed to enhance sustainability.

3. A proposal for a new Institute must be submitted to the appropriate Academic Deans, Chairs, and the Vice Provost for Research prior to a meeting with the Vice Provost for Research. The proposal must include.
 - The name of the proposed Institute;
 - The researchers, University rank, Department and expected contribution to the Research Institute of each member, including strengths that the researchers bring to the Institute. The credentials of each researcher external to UMass Lowell must be included;
 - Director, Co-Directors, or leadership structure of the Research Institute;
 - The mission and goals of the proposed Research Institute;
 - The need for the Research Institute and an explanation of why the Research Institute structure is required to complete the planned research activities. Include a description of the strength that establishing a Research Institute would bring to the University and the value that is added to the University by the Institute. The added contributions of researchers external to UMass Lowell must be described;
 - Interdisciplinary research activities that provide evidence of the potential for collaboration of researchers within the Research Institute;
 - A biosketch of each Institute researcher, not to exceed 4 pages per researcher;
 - A record of past funding and the potential for attracting external funding, including sources of potential funding to further the goals of the Research Institute;
 - Resources that have been secured from external sources and a rationale for resources requested of UMass Lowell;
 - MOU(s) or equivalent with institutions external to UMass Lowell.
4. The appropriate Chairs and Academic Deans should be engaged in discussion about the Research Institute to seek support, including commitment regarding space, funding, and administrative support.
5. Following obtaining support from the appropriate Academic Dean(s), a meeting should be planned with the Vice Provost for Research to engage in a discussion related to the support required from administration, if the new Institute is approved.
6. Inform the University community about the proposed formation of the new Institute to encourage feedback and additional membership through web- based communications and by hosting a seminar for University faculty, administration, and staff related to the goals, proposed research, and plans to address the goals of the Research Institute.
7. Decisions about approval of the Research Institute will be made by the Vice Provost for Research with input from a Research Institute Advisory Committee. The 7-10 faculty member Research Institute Advisory Committee will be appointed by the Vice Provost for Research.

Annual Research Institute Report

All Research Institutes are required to submit an annual report (June 1- May 31). The annual report must be submitted by June 30 each year to the Academic Dean of the appropriate Colleges/ Schools with a copy sent to the Vice Provost for Research. The annual report will be reviewed by the Academic Deans and the Research Institute Advisory Committee with feedback provided to the Vice Provost for Research.

The Annual Research Institute Report should include the following using the Annual Report template:

- The Institute Mission, noting any changes in mission, goals, or focus of research activity that have occurred over the previous year;
- Progress toward goals in the previous year;
- List of all researchers and staff involved in the Institute over the past year;
- List student involvement in the Institute and community and industry partnerships;
- Activities to forward Institute goals that are proposed for the following year;
- Publications and professional conference presentations that are a part of the Institute's programs for the past year (please do not include articles or presentations prior to the past year). List articles that are published or in press only;
- A listing of new research funding received, including source, amount, and title of project for the past year only;
- Total amount of current internal and external funding;
- A listing of up to 10 highlights that reflect the accomplishments of the Institute over the past year that should be promoted by the University internally and externally;
- Copies of updates in MOUs and new MOUs (or equivalent).

Three- Year Review of Existing Research Institutes

All Research Institutes will be reviewed by the Research Institute Advisory Committee, Academic Dean, and the Vice Provost for Research every 3 years. The annual reports for the previous three years will be reviewed. A letter from the Director of the Research Institute to the Academic Dean(s) of the College and the Vice Provost for Research summarizing the accomplishments and work of the Research Institute over the previous 3 years should be submitted with the Annual Report in the Institute review year. The 3- year review will provide feedback on whether the Institute continues to meet Research Institute criteria. Those Research Institutes who are no longer meeting Research Institute criteria will be issued a warning letter from the Vice Provost for Research with recommendations for action to meet Research Institute status. The Research Institute with warning status will then undergo review in 1 year and action on continuation of Research Institute status will be determined by the Vice Provost for Research with recommendations from the Academic Dean(s) and the Research Institute Advisory Committee.

The purposes of the Research Institute 3-year review are:

- To provide feedback to Research Institutes for self-evaluation;
- To provide feedback to administration on the performance of Research Institutes;
- To recognize active Research Institutes to justify future support or expansion;
- To assess appropriate utilization of resources;
- To assess inclusiveness of members across Departments and Colleges as appropriate, including new faculty involvement;
- To assess involvement and contributions of researchers from institutions external to the University.

Initial Review of Existing Institutes

All existing Research Institutes will undergo review summer 2012. Each Institute should submit their annual report with a letter from the Director of the Research Institute to the Academic Dean(s) of the College and the Vice Provost for Research summarizing the accomplishments and work of the Research Institute over the previous 3 years no later than June 30, 2012. Feedback from the review will be provided by the Vice Provost for Research by September 1, 2012.

Center/Institute Subcommittee of Research and Commercialization Committee

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|--------------------|--|
| Linda Concino | ORA |
| Khanh Dinh | Psychology |
| Mignon Duffy | Sociology |
| Susan Houde, Chair | School of Health and Environment |
| Elaine Major | OIC |
| Chris Niezrecki | Mechanical Engineering |
| Mingdi Yan | Chemistry |
| Julie Chen | Co-Chair of Research and Commercialization Committee |
| Julie Nash | Co-Chair of Research and Commercialization Committee |

**UNIVERSITY OF MASSACHUSETTS MEDICAL SCHOOL
PROCEDURES FOR GOVERNING CENTERS, PROGRAMS AND INSTITUTES
(Doc. T96-096)**

PREAMBLE

The University Of Massachusetts Board Of Trustees approved a University-wide policy on Centers and Institutes (Trustee Document T96-096) August 7, 1996, revised October 9, 1996. The University of Massachusetts Medical School campus (UMMS) procedures for governing Centers and Institutes, endorsed by the UMMS Chancellor and Provost, were recommended by the UMMS Faculty Council and voted on by the UMMS Executive Council on September 28, 2011. Pending the approval of the President, these procedures will be effective immediately and will replace any previously existing related UMMS procedures.

The UMMS procedures for governing Centers, Programs and Institutes are consistent with the procedures outlined in the UMMS Governance Document (document T03-035) as approved by the UMMS Board of Trustees on August 6, 2003 and amended by the Board of Trustees on August 23, 2006.

A. DEFINITIONS

Centers and Institutes are matrixed organizational units created to implement academic and training programs, clinical or community service, or research activities that cannot ordinarily be accommodated within existing departmental structures. Like programs, Centers and Institutes cannot award degrees, and cannot make official recommendations on faculty appointments. Rather, faculty associated within Centers, Programs and Institutes must have appointments in academic departments that are then responsible for recommendations regarding promotions and tenure.

1. **Center.** *A Center represents a thematically-aligned group of faculty members who share an academic research focus under the leadership of a single director, who may in turn have discretionary authority over certain funding and space resources (not all Centers will have Center-specific funding and space requirements or resources). In general, centers allow for faculty from different academic departments to come together in contiguous research space, although not all center members are necessarily co-located at the Center location. Centers also may organize and operate research core services. Ordinarily, Centers on the Worcester campus report to the Dean of their School or his/her designee.*
2. **Program.** *Programs are similar to centers in administrative and academic scope, but may also serve as a sponsor for degree-granting programs, concentrations, and courses.*
3. **Institute.** *Institutes are similar to Centers and Programs, but generally are broader in scope and scale. Institutes are more likely than Centers to include faculty from other schools, colleges, or campuses.*

Entities called “centers,” “programs” or “institutes” whose purpose is to provide service to the University community (such as day care centers, learning centers, fitness centers, and other such entities as may be so designated by the Chancellor or his/her designee) shall not be considered Centers, Programs or Institutes for the purposes of this procedure.

B. CREATION AND APPROVAL OF CENTERS, PROGRAMS AND INSTITUTES

Approval Criteria

UMMS approval of new Centers, Programs and Institutes (CPI) shall be based, at minimum, on the appropriateness of the CPI to the mission and goals of the campus, and adequacy of resources including capital investment. The establishment of a new center or institute shall be submitted to the University President for approval upon endorsement of the UMMS Chancellor and Provost and following the review of the Faculty Council and vote by the Executive Council as outlined in the UMMS Governance Document Article IV: The Primary Governing Bodies of the Medical School.

A proposal to establish any CPI may be initiated by one or more faculty members or by the UMMS administration. All proposals should provide the following information:

1. The purpose to be served and the needs to be met by the proposed entity;
2. The consistency with the school or campus long range plans;
3. The proposed relationship with other academic units on the campus and University-wide;
4. The one to five year projected resource needs of the proposed unit including personnel, equipment, office and other space, telephones, library resources, etc.

Approval Procedure

The approval process for UMMS CPIs will be consistent with that of academic departments and will begin with review by the UMMS Provost. When the Provost approves, the proposal will then be reviewed formally at the following levels:

1. By the Faculty governance structure including first, in accordance with the UMMS Governance Document, the Faculty Council and culminating in a vote by the Executive Council;
2. By the UMMS Chancellor.
3. By the University President.

C. GOVERNANCE AND ADMINISTRATION OF CENTERS, PROGRAMS, AND INSTITUTES

Selection and appointment of CPI Directors shall be overseen by the school Dean and university Provost in consultation with the faculty and with the advice of the Chancellor. Final decisions on such appointments are by the Provost. Budget development and management, and other operational governance and oversight matters of CPIs shall mirror those for Departments and Department Chairs as outlined in the UMMS Governance Document (T03-035) Article III, Section E, "Organization by Departments," with the following clarification: official faculty appointments must be made through the recommendation(s) of academic departments.

Doc. T96-096, as amended | Policy on Centers and Institutes

Passed by the Board of Trustees on August 7, 1996

Revised:

October 9, 1996