

UNIVERSITY POLICY

Policy Name:	Centers and Institutes				
Section #:	10.1.5	Section Title:	Academic Matters	Formerly Book:	1.3.5
Approval Authority:	Board of Governors		Adopted:	1959	Reviewed: 02/12/2019
Responsible Executive:	Senior Vice President for Academic Affairs		Revised:	02/1996; 07/01/2010; 07/01/2013; 02/12/2019	
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 and Institute has its own mission statement, and as appropriate, a set of bylaws, procedures, or statement of governance.

2. Reason for Policy

This policy describes the processes 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. This policy supersedes the May 10, 1991 Board of Governors-approved Policy on the Suspension or Discontinuance of Programs, Departments, and Centers with respect to Centers only.

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

Centers and Institutes are organizational forms designed to further the University's instructional, research, and public service missions in ways that are not addressed through traditional structures, such as departments, schools, and colleges. 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

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 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 for the classification, creation, review, modification, and dissolution of CIs, with the goals of enhancing their operation, management, support, and impacts.

A. Classification of C&Is

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

- 1. Board of Governors-level CI:** Initial approval or termination of the CI is by the Board of Governors (BOG), upon the recommendation of the President. CIs at this level will typically be organized independently of a school or college, be supported by a significant endowment or other long-term financial resources, and/or be established by action of the federal or State of New Jersey Legislature. The CI Director reports to the President or the President's designee.
- 2. Presidential-level CI:** Initial approval and renewal or termination of the CI is by the President, and the Director reports to the President or the President's 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.
- 3. 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 the Chancellor's designee, or a 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.
- 4. Decanal-level CI:** Initial approval and renewal or termination of the CI is by a Chancellor, upon the recommendation of the Dean, 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.
- 5. 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 may report to the next highest level of supervision.

The use of the "Rutgers" name in the title of Centers and Institutes is encouraged, particularly for CIs at the Decanal-level of approval and above.

Joint and other Inter-institutional CIs with other institutions of higher education may be proposed at any level reporting relationship, but require the approval of the Senior Vice President for Academic Affairs.

B. Creation of a Center or Institute

1. A basic requirement for the establishment of a new CI is evidence that it is not unreasonably duplicative of activities already performed elsewhere in the University.
2. Establishment of a new CI begins with the development of a proposal that outlines the mission, goals, expected outcomes, and other basic information. Guidelines for preparing the proposal may be found at:
<https://oirap.rutgers.edu/PDFs/CentersandInstitutesGuidelines.pdf>
Directors, supervisors, and the CI approvers specified in Section A. (1-5), will be notified of any significant changes that are proposed to the Guidelines and Procedures for Submission.
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 Dean, Chancellor, appropriate Senior/Executive Vice President, the President, and/or the Board of Governors. If approved, the notification of approval will include the length of time for which the CI is approved (up to a five-year term), and the criteria and conditions under which the CI will be evaluated for renewal.
4. If a Center or Institute proposal is approved, a copy of the proposal, with approvals, must be sent to the Office of Institutional Research and Academic Planning for its records.

C. Review and 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 CI approver (as specified in Section A.(1-5)), in consultation with the Director's supervisor. While CIs will generally follow an established cycle of review, progress reports and/or reviews may be initiated by the CI approver or the Director's supervisor at any time. Guidelines for information to include in the progress report and the procedures for its submission and review may be found at <https://oirap.rutgers.edu/PDFs/CentersandInstitutesGuidelines.pdf>
2. CI operations will be approved for up to a five-year term. Six months prior to the renewal/termination date of a CI, the CI Director requesting renewal of the CI should prepare 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 or last renewed.
3. Upon review of the progress report, the CI approver, in consultation with the Director's supervisor, has three options: (i) renew, suspend, or dissolve 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 all specified input is obtained, the CI approver, in consultation with the Director's supervisor, makes a decision to renew, suspend, or dissolve the CI. For CIs classified as Board of Governors-level, Presidential-level, or Chancellor- or Senior/Executive Vice Presidential-level (see Section A. (1), (2), and (3) above), the President will seek the advice of the University Senate before deciding to dissolve the CI. In the case of Board of Governors-level CIs, the BOG should be sent a notice of renewal, or a request for suspension or dissolution for their approval.

5. If the CI is suspended or dissolved, the suspension/dissolution must consider contractual obligations and employment agreements with the faculty and staff associated with the CI, and determine how these will be fulfilled.
6. The outcome of the review should be shared with the Office of Institutional Research and Academic Planning for its records.
7. 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 CI approver, in consultation with the CI Director's 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 approver, in consultation with the CI Director's supervisor, at any time.

D. Shared Departmental/CI Responsibilities for Faculty

With rare exceptions, 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 CI approver, in consultation with the CI Director's supervisor. CI names should not overlap with those of existing departments, schools, colleges, CIs, or other units. In the case of Board of Governors-level CIs, the Board of Governors should be sent a notice of the name change request for their approval. Approved nomenclature changes must be reported to the Office of Institutional Research and Academic Planning.

F. Reorganizing or Restructuring Centers and Institutes

Proposals to reorganize or restructure CIs must be approved by the CI approver, in consultation with the CI Director's supervisor. 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 process outlined in Section B of this Policy.

G. Listing of Centers and Institutes

A current listing of Centers and Institutes shall be maintained by the Office of Institutional Research and Academic Planning, together with a record of any such unit which has been suspended or dissolved by action consistent with this policy. Changes in CI Directors, their contact information, and/or CI website URLs must be reported by the CI supervisor, or their designee, to the Office of Institutional Research and Academic Planning for updating of the current listing.