

Official Memorandum of Action – MOA-07/03

RESEARCH POLICIES COUNCIL
Name of Council/Committee

12 April 2007
Date of Meetings

RECOMMENDATION:

Implementation Date

The Research Policies Council recommends approval of the attached Policy on Centers and Institutes at Western Michigan University.

Susan Stapleton
Susan Stapleton, Chair, Research Policies Council

18 April 2007
Date

Approve
Route to council(s): (1)
 Disapprove
 Return to council/committee
Comments: (2)

Mary Lagerwey
Mary Lagerwey, Faculty Senate President

May 4, 2007
Date

Approve
Comments:
 Disapprove
 Other action

Janet Pisaneschi
Janet Pisaneschi, Provost and Vice President for Academic Affairs

June 7, 2007
Date

Approve
Comments:
 Disapprove
 Other action

Diether Haenicke
Diether H. Haenicke, Interim President

06/08/07
Date

Policy on Centers and Institutes at Western Michigan University

Prepared by the Ad Hoc Committee to Review Centers and Institutes at Western Michigan University. Revised in consultation with the provost's office and the Research Policies Council.

Committee Members:

David Ede, Comparative Religion (Chair)
Osama Abudayyeh, Associate Dean, Engineering and Applied Sciences
Kieran Fogarty, Interdisciplinary Health Studies
Frank Gambino, Marketing
Marion Gray, History
Willem Homan, Aviation
Joyce Kubiski, School of Art
Susan Stapleton, Chemistry
Elizabeth Whitten, Educational Studies

Revised March 15, 2007

Policy on Centers and Institutes at Western Michigan University

Main Topics:

- I. Definitions and Types of Centers and Institutes
- II. Procedures for establishing Centers and Institutes
- III. Annual Review and Report
- IV. Periodic Program Review
- V. Procedures for the Termination of Centers and Institutes

I. Definitions and Types of Centers and Institutes

Scope of this policy: This policy applies to centers and institutes in the Division of Academic Affairs that have academic missions, defined as activities related to teaching and scholarship. Centers and institutes that have distinctly service missions also require approval at appropriate administrative levels, but they are not covered by this policy.

Center: *A unit formed for purposes of linkage and visibility, focused on a theme, issue or set of skills. A Center will frequently be interdisciplinary in nature. A Center does not offer degree programs.* [Official WMU definition approved by the Board of Trustees, 9/18/98]

A Center may require modest support from the academic unit or College or Office of the Vice President for Research, but is expected to generate operating funds from gifts, endowments, grants, contracts and/or participant fees. The Center's functions may include: sponsoring, coordinating, and promoting research and creative activities and teaching and service of faculty and students (undergraduate and graduate); creating a forum for discussion and innovation; and forming a locus of support for grants and projects. Centers as categorized below may deal with problems and issues of concern to, and involve faculty and staff with an interest in a particular academic or research theme, and may involve individuals who come from within a department or multiple departments, schools or colleges. The term "Center" is also often used by grants and these Centers are defined separately.

Centers may fall under one of the following categories:

University Center: A University Center is concerned with subject matter of sufficient breadth to involve disciplines from two or more colleges. Administration and reporting functions of a University Center may be assigned to an individual college or another administrative office, such as an Institute.

College Center: A College Center is concerned with subject matter confined primarily to disciplines organized within a single college. Administration and reporting functions of a College Center are assigned to that individual college.

Departmental Center: A Departmental Center is concerned with subject matter confined primarily to a single discipline or academic specialty represented by an academic department and thus reports to the Department Chair.

Centers that expect to have general fund budgets or which expect to benefit routinely from allocation of F&A recoveries must have approval of the Board of Trustees. Without Board approval, the F&A return will not be distributed to the entity but will instead go to the department or college. To obtain Board approval, a center must be approved according to the Process for Organizational Changes of Academic Units, as established at the university.

Grant Centers: Many types of grants call for the establishment of Centers as part of the request for proposal or to designate a collaborative effort. As part of the submission process Departments and Deans by signing the Project Approval Form agree to the establishment of the Grant Center. If there are multiple Colleges involved each of the Deans needs to agree.

If the grant related Center is intended to exist beyond the life of the grant it needs to be reauthorized as a University, College or Departmental Center.

Institute: *A similar unit in nature to a Center, as defined above, but which grants a degree or offers courses through a college. Typically an Institute will be interdisciplinary. Course work for a degree offered through an Institute may include some offered by the Institute itself but will be primarily comprised of courses in various disciplines/departments already in existence. [Official WMU definition approved by the Board of Trustees, 9/18/98; amended as underlined.]*

An Institute typically requires a substantial financial investment by the College or University to support a broad spectrum of service, research and creative activities, but is over time expected to generate substantial support from grants, contracts and/or participant fees. Its functions are also broad and may include special services to the University and greater community itself. An Institute may serve as an administrative office for University Centers. Normally, institutes deal with problems and issues of concern to, and involve faculty and staff from, two or more disciplines, and are not necessarily bound to a particular specialty area.

Institutes must gain formal approval through the Process for Organizational Changes of Academic Units. This requires approval by departments involved, college curriculum committees, deans, the provost, and the president, as described in that policy.

II. Proposals for New Centers and Institutes

Preamble:

Faculty and others wanting to establish a Center or Institute in any unit within the University will submit a concept of the proposed Center or Institute, with the approval of the Chair or Director, to

his/her Dean. If the Dean approves the concept it will be forwarded to the Office of the Provost, the Office of the Vice-President for Research, and announced at the Deans' Council and the Faculty Senate for discussion and recommendations for collaboration. Curriculum proposals to establish a degree or new courses offered through an institute must follow the college's curriculum process. This process does not apply to Grant Centers which are handled through the Project Approval Form system.

Each Center or Institute must demonstrate a clear need for some number of faculty members to work together in a single administrative structure that allows them to carry out a research or teaching program more effectively than they would be able to do working individually or in informal partnerships.

Regular faculty associated with a Center or Institute will retain all rights and privileges of their home department. All salary, promotion, and tenure considerations will be made by their home department and college within the regular review and evaluation process. Center or Institute Directors shall submit a review of the faculty members' productivity relative to the activities of the Center or Institute. The respective home department will be obligated to take such reviews into consideration for personnel decisions.

All Centers and Institutes will be reviewed periodically [see section IV, Periodic Program Review].

A proposal for the establishment of a new Center or Institute must include the following:

1. A statement of purpose and justification, including the significant local, regional and/or national contributions the Center or Institute intends to make and how these promote the mission of the university.
2. Goals and objectives. These should be sufficiently concrete to serve as criteria for evaluation of the performance of the Center or Institute.
3. In the case of an Institute, curriculum and/or degrees must be justified.
4. Distinguishing activities and/or approaches to problems and issues.
5. Organizational structure and governance plan, including organizational and fiscal responsibility (director, administrative authority, support staff, project managers, etc.), a list of current faculty, staff and other key personnel, both college and non-college, directly involved. Name of Center and type of Center must be defined. Include résumés for all faculty. For a University approved Center or Institute, procedures for the selection of an advisory board need to be included.
6. Operating plan. Describe the support required; including budgets, faculty assigned time, office space, equipment, part-time and full-time staff, etc. Include short term and long term plans for making the Center or Institute self-supporting.
7. Multi-year plan for funding including sources.
8. Description of the assessment measures and procedures to be used in the periodic review process.

III. Annual Review and Report

1. Directors of Departmental, College and University Centers and Institutes must provide annual reports to the appropriate administrative office.
2. The annual report, due May 15 to the administrator to whom the director reports (i.e. 45 days prior to the end of the fiscal year), must contain an annual financial report, including use of indirect cost returns, proposed budget for the following year, a progress report and a description of accomplishments. Extensions may be requested and agreed upon by the director and the reporting administrator.
3. The annual report should include information on the following topics, if applicable:
 - Faculty, staff and student personnel involved in activities;
 - Activities such as invited scholars/lectures, conferences, symposia, etc.;
 - Research and creative activities performed and disseminated;
 - Curricular activities and degrees granted;
 - Enrollments;
 - Grants and contracts proposed, submitted and awarded;
 - Impact of activities on the academic programs of the University;
 - Community service;
 - Future plans;
 - Problems to be addressed;
 - Other information deemed appropriate.
4. Following the submission of the annual report, the director meets with the appropriate administrator by June 30 to discuss any changes in the mission, goals or objectives of the Center or Institute and plans for addressing problems and concerns including long-range financial viability.

IV. Periodic Program Review

1. All Centers and Institutes will be reviewed for renewal at least once every five years by the appropriate reporting administrator. Directors of Centers and Institutes will also be reviewed at the same time by the reporting administrator with input from the Center and Institutes faculty and staff. Reviews will be due by May 15 of the fifth year. The review structure will be determined by agreement between the reporting administrator and the director of the Center or Institute. Extensions may be requested and agreed upon by the director and the reporting administrator. Centers and Institutes already in existence should go through an immediate review within the first year of the adoption of this policy.
2. The review should include the information collected through annual reports and a comprehensive plan for the future.
3. The program review may, at the discretion of the reporting administrator, require an external evaluation.

4. Failure to submit a program review will result in the termination of the Center or Institute.

V. Termination of Centers and Institutes

Recommendations for termination of Centers and Institutes must be made by the reporting administrator to the Provost and if a Board approved Center or Institute to the Board of Trustees.