



## Centers, Institutes and Laboratories

**Policy Title:** University Policy on Centers, Institutes, and Laboratories

**Policy Type:** Administrative

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**Responsible Office:** Provost and Vice President for Academic Affairs

**Responsible Executive:** Provost and Vice President for Academic Affairs

**Applies to:** University Community

### POLICY STATEMENT

This policy is established to present guidelines for the creation, operation, and review of centers, institutes, and laboratories at Norfolk State University.

TABLE OF CONTENTS	PAGE NUMBER
Definitions.....	1
Contacts.....	2
Stakeholder(s) (For Administrative Policy) .....	2
University Policy on Centers, Institutes, and Laboratories.....	2
Publication.....	6
Review Schedule.....	6
Related Documents.....	6
Forms.....	6

### DEFINITIONS

A. **Center:** A Center is a single-focus entity for research, education, or service. A center may operate within a department or college or school, or it may operate as a university-wide interdisciplinary unit. As an entity with a single-focus on education, research, or service, centers are distinguishable from institutes which have a broader scope and focus. Activities may include research, education, or service involving interdisciplinary endeavors.

B. **Institute:** An Institute is created for an extended period of time, not less than five years and is established as self-supporting and revenue-generating units. An institute is an interdisciplinary entity with a broad, interdisciplinary scope. Activities include research, education, or service across departments, schools, and colleges and may involve other university or external entities such as universities, colleges, community and governmental agencies, foundations, research centers, industry, school systems, and hospitals.

C. **Laboratory:** A laboratory is a single-focus, research entity operating in an academic department. Laboratories focus on research in a single discipline with endeavors that typically do not involve interdisciplinary fields of study.

### **CONTACT(S)**

The Office of the Provost and Vice President for Academic Affairs officially interprets this policy. The Office of the Provost and Vice President for Academic Affairs is responsible for obtaining approval for any revisions as required by BOV Policy # 01 (2014) *Creating and Maintaining Policies* through the appropriate governance structures. Questions regarding this policy should be directed to the Provost.

### **STAKEHOLDER(S)**

University Community and External Constituents

### **UNIVERSITY POLICY ON CENTERS, INSTITUTES, AND LABORATORIESL**

The purpose of Centers, Institutes, and Laboratories is to strengthen and enrich the academic mission of the University through research, education, and service conducted by faculty and staff. The primary academic and research activities of the University are conducted by faculty and staff in academic departments or units and in colleges and schools. In some instances, activities involving research, education, or service are sufficiently broad to extend beyond the scope and mission of an existing academic or university unit (i.e., department, college or school, or office). In such cases, an institute, center, or laboratory may be established upon the approval of the respective department chair, dean, Provost, and confirmed by the President. Centers, institutes, and laboratories are established as self-supporting units focused on advancing the academic mission of the University through research, education, or service. Centers, institutes and laboratories will report organizationally to a department, college or school, or a designated entity such as the Office of the Provost or Office of the President.

## **I. Guidelines for the Establishment of a New Center, Institute or Laboratory**

- A. A proposal to establish a center, institute, or laboratory must be submitted to and approved by the respective Department Chair, Dean, Provost, and confirmed by the President prior to the acceptance of external support for the proposed unit. Proposals may be submitted by faculty or staff members. Proposals must address the following components:
1. Name of the proposed center, institute, or laboratory.
  2. Objectives and goals of the proposed institute, center, or laboratory.
  3. Relevance of the proposed center, institute, or laboratory to the University mission. This statement also must address the potential impact of the proposed institute, center, or laboratory on existing academic and university structures (offices, departments, schools/colleges, divisions, centers, etc.).
  4. Description of the anticipated impact or effects of the proposed center, institute, or laboratory on existing instructional programs, educational environment, outreach or public service activities, or research programs of the University.
  5. Rationale and justification for the need of the proposed institute, center, or laboratory. The rationale and justification must identify a need that is not currently being met elsewhere in the University and must specify how the proposed center, institute, or laboratory will advance the mission of the University, especially as it relates to the academic or research mission of the University.
  6. Description of the proposed organizational structure of the proposed institute, center, or laboratory including its relationship to existing University structures. The director of the proposed unit, the respective department chair, dean or deans, and the Provost must be included in the organizational chart and the reporting structure. Identify faculty and staff who will be involved in the proposed center, institute, or laboratory and the expected time and effort for each. Include the qualifications and credentials of all faculty and staff associated with the center, institute, or laboratory. As appropriate, at least five faculty members should be included in the operation and support of the proposed institute, center, or laboratory.
  7. Timeline including the expected life span of the proposed center, institute, or laboratory.
  8. Description of expected value added to the University in the event the proposed, center, institute or laboratory is approved.

9. Description (i.e., identification) of existing and expected resources, including funding, for the proposed center, institute, or laboratory. A minimum of \$100,000 in external support is required in order to initiate an institute or center.
  10. Budget estimates for the first year of operation and projections for the subsequent years of operation.
  11. Evaluation and assessment plans in accordance with University policies and procedures (e.g., annual progress reports, annual assessment reports, annual performance evaluations, annual budget reports and requests, etc.).
  12. Plan for periodic comprehensive evaluation of the proposed center, institute, or laboratory (e.g., an external evaluation in the third year).
  13. Plan to discontinue the institute, center or laboratory. Should funding end or goals and objectives are not achieved as anticipated, an exit plan must be developed to prepare for responsible stewardship of human and capital resources, property, and records of the institute, center, or laboratory. The Provost must review and approve the exit plan. The exit plan must be approved by the President.
  14. Institutional Review Board approval if appropriate.
  15. Identification and description of the physical space where the proposed center, institute, or laboratory will operate. Indication of whether additional space may be needed as goals and objectives of the proposed institute, center, or laboratory are achieved.
  16. Supporting documentation and information regarding the need and potential benefit and value added.
  17. Signatures of approval by appropriate university, departmental, and college/school officials.
- B. A proposal requesting approval to establish a Center, Institute, or Laboratory may be submitted by a faculty member, department(s), Dean, staff member, or the Provost.

## **II. Review Procedures for Centers, Institutes, and Laboratories**

- A. Within a period of three years following establishment, and periodically thereafter (on a schedule to be determined by the relevant Dean or the Provost), each center, institute, or laboratory will be reviewed by the relevant Dean, Graduate Studies and Research Dean, and the Provost or designee.
  
- B. An internal or external review may be conducted. A review committee will be appointed by the Provost. The dean or relevant administrator, in consultation with the department chair and director of the center, institute, or laboratory may recommend members to serve on the review committee. A majority of the review committee members should be external to the institute, center or laboratory.
  
- C. The criteria for the review will be determined by the Dean of the School/College, the Dean of Graduate Studies and Research, and the Provost. Review criteria must include the following:
  - 1. The unit's ability to enhance the academic mission of the university;
  
  - 2. The unit's contribution to the visibility and stature of the university;
  
  - 3. The quality of scholarly activity, educational programs, and/or other intellectual contributions of the unit;
  
  - 4. The level of faculty and student activity and participation;
  
  - 5. The effectiveness of the management of the unit;
  
  - 6. The effectiveness of the unit's external funding activities and financial sufficiency;
  
  - 7. The effectiveness of the advisory board (if applicable).
  
- D. The Director will prepare a written report (self-study) responding to the criteria established for the review of the center, institute, or laboratory.
  
- E. The review committee will prepare a written report of its findings and recommendations. There commendations should be designed to enhance the functioning and development of the

institute, center, or laboratory. In some circumstances, the recommendations may include alternative organizational arrangements, including phasing out of the unit. A report of the review must be submitted to the President, the Provost, the relevant Dean, and the Department Chair.

- F. All centers, institutes and laboratories are fully responsible for understanding and adhering to all University and state policies and procedures, including but not limited to budget policies and procedures, the gift acceptance policy, sponsored research submission procedure, procurement policy, consultant policy, capital projects planning procedures, and all other relevant policies and procedures.

### **III. Discontinuance of a Center, Institute, or Laboratory**

Upon the recommendation of the respective dean or administrative official, a center, institute, or laboratory may be discontinued at the discretion of the Provost in consultation with and approval of the President. Conditions for discontinuance may include that the center, institute, or laboratory no longer serves the purpose for which it was created, no longer serves the mission of the University, or funding will end or has ended. Upon discontinuance of a center, institute, or laboratory, the human and capital resources, property, and records of the center, institute, or laboratory will be handled in accordance with the established exit plan and University and state policies.

## **PUBLICATION**

This Policy will be widely published or distributed to the University Community. To ensure timely publication and distribution thereof, the Responsible Office will make every effort to:

- Communicate the policy in writing, electronic or otherwise, to the University community 14 days of Board approval;
- Submit the policy for inclusion in the one line Policy Library within 14 days approval;
- Post the policy on the appropriate SharePoint Site and/or Website; and
- Educate and train all stakeholders and appropriate audiences on the policy's content as necessary. Failure to meet the publication requirements does not invalidate this policy.

## **REVIEW SCHEDULE**

**Next Scheduled Review:** 04/16/2021

**Approval by, date:** President, 07/01/2015

**Revision History:** April 16, 2018

**Supersedes:** # 30.036

## **RELATED DOCUMENTS**

*There are no related documents associated with this policy.*

## **FORMS**

*There are no forms associated with this policy and procedures.*