

Centers & Institutes Policy

- Policy Number: ESU-2019-01
- Previous Policy Numbers: N/A
- Effective: TBD
- Adopted: TBD
- Last Reviewed:
- Amended:
- Related Policies

Policy Statement:

This policy applies to all research Centers and Institutes at East Stroudsburg University (ESU). This policy does not distinguish between "Centers" and "Institutes," recognizing that different disciplines often use the terms interchangeably.

Research Centers and Institutes at ESU provide an important mechanism to facilitate the highest quality of inter- and multi-disciplinary research around themes that involve researchers from multiple units across disciplines, departments, and colleges. The decision to create or continue a center or institute at the University solely lies within the authority of the University. Typically, Centers and Institutes are based on a group of faculty members' research interests in addressing specific issues or problems of current interest not covered in their disciplines. In some cases, this may also apply to staff or managers who are also interested in supporting faculty or academic research as is with the position of library dean or workforce development director. Such research projects will not occur during the course of normal working hours for the ESU researchers/principal investigators involved, unless through externally funded or grant funded released time mechanism.

As official units of ESU, all Research Centers and Institutes must develop and utilize transparent processes of governance and review. Criteria for establishing, governing, and reviewing Centers and Institutes should reflect the high standards of academic excellence, and best governance and business practices governing all ESU entities. In addition, the establishment of Centers and Institutes shall adhere to all laws, regulations, and policies applicable to the University.

Specifically, all Research Centers and Institutes should include:

1. A plan for research or creative activity and a mission statement aligned with college or university mission statements;
2. A financial plan addressing issues of immediate and long-term sustainability, which shall be updated annually as part of the annual reporting process;
3. An organizational structure;
4. Plans to provide an annual report and periodic reviews and assessments of the contributions of the Center to the College and the University.

All Research Centers and Institutes will be evaluated and held accountable using the benchmarks specified in their academic disciplines and their financial sustainability plans.

If a Research Center or Institute is determined to be meeting its objective of producing outstanding scholarly and creative work, the University will assist its faculty/staff scholars as appropriate in determining how to best obtain the resources necessary to sustain its operation. No single funding model will best suit all Centers and Institutes, but the University and its component parts will assist to the best of their respective capabilities in crafting a financial plan that will sustain research Centers and Institutes as loci for important scholarly work. Faculty and staff associated with Centers and Institutes should commit to producing outstanding research or creative work, and to making every effort to secure external funding, commensurate with expectations and availability of funding in their fields.

Guidelines for Establishing Research Centers and Institutes:

University Research Centers and Institutes

The establishment, administration, and governance of Research Centers and Institutes that include faculty members are the responsibility of the Provost. Applications for the establishment of University Research Centers and Institutes should demonstrate the necessity of forming such a Center, and in particular, clarify that no existing University Center is already an appropriate locus for the work proposed. Applications for University-based Research Centers and Institutes will be reviewed by department chair, dean, provost/or appropriate vice president, vice president for finance, and president to ensure that the proposed Center has the necessary academic, financial, and organizational plans in place, before final approval by the Provost and the President. In rare cases, staff under different divisions may seek to apply for a center or institute, in which case the appropriate vice president and President will review and approve applications.

University Research Centers and Institutes report to the Provost, or in the case of non-faculty supported centers, to the appropriate vice president; each university Center or Institute is required to produce an Annual Report of their activities and achievements to be reviewed by the Provost (or the appropriate vice president) or his/her delegate.

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Naming a Research Center or Institute

Ideally, the name of a Research Center or Institute should indicate its primary function. A university Research Center or Institute should include the name of the University: "Center for Environmental Impact Research, East Stroudsburg University of Pennsylvania or "East Stroudsburg University of Pennsylvania Center for Environmental Impact Research." The Council of Trustees must approve all official names of Centers and Institutes.

Exceptions

In special circumstances, Research Centers and Institutes may be established, reviewed, or closed through ad hoc processes. Exceptions to the processes outlined above may be

granted only by the President of ESU or the Provost (or, upon delegation of authority by the President, or the appropriate vice president in the event the center is being created by non-faculty members of the university); requests must include an explanation of the reason why an exception is required.

Application of Policy to Existent Research Centers and Institutes

The necessity for regular review of Research Centers and Institutes applies to those units founded before the adoption of this policy. Such Centers and Institute, in all cases, should work closely with the Director of the Office of Sponsored Projects and Research, who serves as Assistant to the Provost for Research, to develop a plan for review within one year of the date this policy is adopted, following the recommendations herein.

Reason for Policy:

The purpose to this policy is to bring a framework, structure and process to implementing research Centers and Institutes at ESU; it will provide clear guidelines to those wishing to establish a new Center or Institute.

Consistent guidelines and procedures for establishing, reviewing, or closing research Centers and Institutes will help ensure that all such units maintain the highest academic standards and best business practices, contributing most effectively to the intellectual vibrancy of the university.

This policy will bring a more robust Center and Institute culture to ESU and enhance the University's reputation with outside community members who are interested in using ESU's professional services. A framework and established processes for Centers and Institutes will also improve ESU's financial condition by increasing revenue.

The benefits of Centers and Institutes at ESU include:

1. Increasing intellectual excitement within ESU's campus community.
2. Amplifying engagement of students to work closely with faculty on projects of educational value.
3. Acquiring additional external funding for the University in the form of fees, contracts, and grants.
4. Stimulating faculty to become more involved in their professions, in research, and in writing proposals for extramural funding.
5. Enhancing services to both internal and external constituencies, most particularly the residents of Monroe County, as well as those in the Commonwealth and throughout the nation.
6. Facilitating multidisciplinary and interdisciplinary approaches to important topics and concerns.
7. Enhancing the University's reputation for innovation and research.

Appeal Statement/Process:

The decision to create or continue a center or institute at the University solely lies within the authority of the University.

Definitions: None

Other Relevant Information: Centers & Institutes Procedures

Centers & Institutes Procedures

- Procedure Number: ESU-2019-01P
- Policy Number: ESU-2019-01
- Effective: TBD
- Adopted: TBD
- Last Reviewed:
- Amended:
- Related Procedures:

Summary:

Faculty or, in some instances, staff members, interested in forming a university-based Research Center or Institute should confer with the Office of Sponsored Projects and Research for discussion of procedures and guidelines.

Process:

A. Application Process:

All applications shall include:

I. Organizational Structure

Executive Summary of the scope and purpose of the proposed Center or Institute

- i. Mission Statement, goals, and objectives that are compatible with ESU's mission and goal statements. Please list 4 goals. Where appropriate the Center or Institute should involve students in their activities and must demonstrate the benefits of these activities for student academic development.
- ii. Background, including existing efforts and faculty involved.
- iii. Comparison of value added compared to similar or related Centers at ESU or at other institutions as well as of relationships between the proposed Center, the community, and community services.
- iv. Description of proposed scholarly program, defined service area and target population. Where multiple services are offered, they may have different service areas and target populations.
- v. Evidence (documentation) of the need for services to be offered. Accepted forms of needs assessment may include: analyses of surveys, testimony from leaders of the target population, secondary sources, and analyses performed by professional organizations, etc.
- vi. Description of proposed organizational structure, including leadership and including brief CVs (3 pages max) for primary participating faculty members.
- vii. Internal and external letters of support from informed individuals.
- viii. Statements of support from relevant department heads and deans.

II. Budget

- i. Provide an initial three-year budget outlining inputs and outputs. Each Center and Institute will operate on a self-supporting basis utilizing external and/or internally-generated funds. Explain the potential for revenue generation. Centers and Institutes shall have comprehensive plans for exploring and/or securing external grant and contract funding. Externally generated income may include user fees, fees for service, grants, and contracts which will be accounted for to the Center or Institute's cost Center. Internally generated funds may include funding allocations pledged by the sponsoring department, other departments, or offices of the university. An annual balanced budget will be prepared by the Center or Institute, reflecting projected income and expenditures. Expenditures are to include all costs associated with the operation of the Center or Institute, including but not be limited to, space usage costs, salaries, employee benefits, student employment, supplies, and equipment. All income generated will be credited to the Center or Institute cost center. Where applicable, Centers and Institutes shall provide a fee schedule and estimated income to be generated on a fiscal year basis.
- ii. Please list all personnel involved in the operation of the Center or Institute. ESU personnel employed by Centers or Institutes may receive compensation for services rendered. The salary for employees will be identified through the Center's budget proposal and shall not exceed the individual employee's established rate of pay. The employee's primary supervisor must certify that the work performed for the Center or Institute is in addition to and not part of the employee's primary job responsibilities or duties. ESU employees may receive released time from their primary duties to perform work in Centers or Institutes upon the recommendation of the Provost, with the Center or Institute reimbursing the university through a fund transfer. Employees on released time will not receive extra compensation for the same work. All additional work beyond released time for the purposes of work performed for a Center or Institute shall be paid in accordance with the CBA. The assignment of this additional work shall be approved and managed by a senior administrative official, vice president or higher, in order to assure that faculty members fulfill their time commitment to the sponsors as well as fulfilling their time commitment to all university duties. Any additional compensation shall be awarded consistent with applicable Federal, State or Private funder guidelines and limitations. In addition, summer contracts to ESU employees may not exceed an ordinary summer load of 12-13 contract weeks (beginning the first day after the close of the spring semester and ending the last day before the beginning of the fall semester) regardless of the source of funding. All personnel positions shall be funded from income generated by the Center or Institute and will be classified as temporary positions.
- iii. Resources available/required (space, equipment, administrative support, cash). All space and facility needs must be identified and resolved at the time a proposal is submitted.

- iv. All questions about liability and related issues shall be fully answered. Students and faculty on the University payroll receive standard liability coverage. Persons providing services without compensation from the University must secure individual liability insurance coverage.
- v. An annual review of the Center or Institute's budget will be completed upon annual review to ensure financial sustainability.

B. Application Review Process and Criteria

I. Process

The review of applications shall proceed through an internal clearance process and will be routed through ESU eGRANTS, the University's electronic competition and clearance platform also used for grants. Applications will be reviewed upon their receipt by the primary faculty member's Chair, Dean, Provost (or appropriate Vice President), Vice President for Finance and Administration, and lastly the President.

II. Criteria

Each Center or Institute:

- i. Should be organized around a research or scholarly theme of high intellectual timely importance with high potential benefit for research, creative work and education at the University;
- ii. Ideally involve faculty members from at least three disciplines;
- iii. Have a clear mission based on the scholarly and research theme;
- iv. The proposed Director should be a senior faculty member of academic standing, who has demonstrated administrative skills and the ability to raise external funding where that is appropriate;
- v. Should not reduplicate the foci or efforts of already existing Research Centers or Institutes.
- vi. Shall comply with all laws, regulations and policies applicable to the University.

REPORTING GUIDELINES

Annual Review of Centers & Institutes

University Research Centers and Institutes will be reviewed annually. The Center personnel will submit an annual report, identifying activities and accomplishments, specific proposals submitted and grants awarded, and other evidence of meeting the benchmarks and objectives set up when the organization was established. All University Centers and Institutes will report to the Provost.

At the start of the fiscal year, all Centers and Institutes will be asked to provide three to seven goals for the upcoming year linked to ESU's strategic plan *Students First: Empowering Innovation through Collaboration 2017-2020*. These goals will be used to create individualized

annual report templates, which will be sent to the Centers and Institutes at the end of the fiscal year.

Each Center and Institute will answer the following questions at the beginning of the fiscal year:

- What are your C&I goals this academic year?*
- What is your plan to achieve each goal?
- How will you measure progress/achievement?
- How does each goal map to the University's Strategic Plan?**

*Each Center and Institute must have at least three and no more than seven measurable goals.

**Each goal must map to *at least* one tactic of the University's Strategic Plan.

At the end of the year, an annual report template will ask each Center or Institute to review their submitted goals and provide an update on their program through a goal narrative. In addition, information about personnel, a breakdown of each Center and Institute's budget in terms of revenue and expenses, and any additional information the Center or Institute directors feel relevant to report, will be collected. See report template below.

New Centers and Institutes will be granted preliminary official status for a three- year period, at which time the Center will undergo a full review by a committee appointed by the Provost in consultation with the Director and Advisory Board of the Center. Thereafter, Centers and Institutes will be reviewed every three (3) years by committees of three to five recognized experts in the areas in which the Center or Institute works. The majority of the members of the review committee and the chair of the committee should be external experts. The Dean, Provost, or appropriate vice president in the case of staff is responsible for appointing the review committees.

The Provost or appropriate vice president will review the committee report and, in consultation with academic leaders (President, dean, Director of Sponsored Projects and Research) determine whether the Center or Institute shall continue for an additional three (3) years. Centers and Institutes may be terminated at the discretion of the University President with or without cause.

If Center is originally operating with University funding, receipt of continuing University funding after three years will be rare, but may be awarded to those Centers which demonstrate their continued, significant contribution to excellent scholarly work, and where appropriate, demonstrate significant growth in their external funding support.

Administration of Research Centers and Institutes

Changes in the by-laws, leadership, or advisory board of any Research Center or Institute must be made in consultation with the Dean, Provost, or applicable Vice President.

Forms: Contact the Director of the Office of Sponsored Projects and Research at 570-422-7954 or cmcdonald9@esu.edu.

Related Procedures:

Other Related Information:

Contacts: Christina McDonald, Director of Sponsored Projects & Research and Assistant to the Provost, cmcdonald9@esu.edu, 579-422-7954