

**Guidelines for Center and Institute Proposals and Periodic Progress Reports
and Procedures for their Submission
(February, 2019)**

Directors, supervisors, and the CI approvers specified in Section A. 1-5 of Policy 10.1.5 – Centers and Institutes, will be notified of any significant changes that are proposed to this document.

Guidelines for Centers and Institutes (CI): Proposals to Establish a New CI

At a minimum, all items below (as appropriate) should be addressed in the proposal to establish a CI. Additional information may be requested as well.

1. **CI Name.** The CI's proposed name should convey the CI's focus clearly, even to those outside the field. If the proposed name is similar to that of another unit (an existing school, college, department, academic program, or CI), a letter of endorsement from the existing unit with the similar name should be appended to the proposal.
2. **Director Name (if known), Title, Department and School Affiliation.** Include this information for all founding members as well.
3. **Purpose and Mission.** What is the proposed purpose and mission of the new CI? Explain why this activity could not be as successfully carried out in an existing department or CI. Clearly identify the ways in which the proposed CI will advance the goals and priorities of the University and/or the school or department, as applicable.
4. **Opportunity/Justification.** Describe the combination of intellectual capital, research environment, and external factors that creates favorable conditions for the CI's success. Provide a justification and explanation of the need for creating the CI. Departmental centers are required to justify and explain why their purpose is distinct from that of the department.
5. **Current Activities.** Describe interdisciplinary research, teaching and outreach collaborations already underway that provide a foundation on which to build the CI's activities.
6. **Organizational Structure and Governance.** How would the proposed CI be classified? (See Policy Library Section 10.1.5 Paragraph A. 1-5 for definitions.) How will the CI be organized? Will it operate within a department, within a school or college, as a unit of one of the Graduate Schools, or across multiple schools and colleges? If it is interdisciplinary, how will interactions among departments and schools/colleges be managed? What will be its governance and administrative structure? How will its leadership be identified and to whom will its leadership report? What are the proposed responsibilities of the Director? By what process is the Director appointed, evaluated, and/or reappointed? For CIs that will be active in more than one school or college, the proposal must specify how the Deans will coordinate responsibility for CI oversight and review. Ideally, a lead school will be specified. If the CI will operate such that there is no single lead Dean, then the proposal should make the organizational structure and lines of responsibility very clear. Will there be internal/external advisory boards? If so, provide information on the types/names of members you will recruit for participation and why. Draft by-laws that include the above information should also be provided.
7. **Public/Private Partnerships.** What public/private partnerships do you already have in place (i.e. federal/state funding, corporate contracts, etc.)? What are the opportunities for public/private partnerships? What role will these partners play in the proposed CI? What contributions will they make and what benefits will be generated as a result of such partnerships?
8. **Financial Support.** What is the budget needed for the CI and what will be its main funding source? If the identified support is lost, what are the prospects for continuation of the CI? Please note in particular whether state funds, particularly new state funds, will support the CI. What

other resources are available to support the proposed CI? Describe any anticipated financial support to be provided/shared with other Rutgers units, including member salaries. A projected business plan that details expected revenues and expenditures should be included.

9. **Program Description.** Describe the planned research, teaching, outreach, activities, and public/private partnership programs of the CI, target audiences, and timeline for implementation.
10. **Administration of Grants.** When faculty members who participate in a CI succeed in securing grants associated with the CI's mission and activities and the grants are to be implemented in CI space, the grants will normally be administered by the CI. Any exceptions or additional agreements must be reviewed and approved by the person to whom the CI Director reports. Describe how any grants associated with the CI will be administered.
11. **Staffing.** It is important to identify faculty and staff who plan to participate in the CI's activities. By what mechanism is the participation of new members solicited? Where the interests of CIs and departments intersect, it may be important to clarify how activities of participants (faculty and staff) are allocated or credited among participants' various units, or to have procedures for engaging interested parties in discussion of this topic. How will administrative support be provided? Is it adequate to support the mission of the CI? If an existing campus unit or an academic department will provide such support, include this information in the letters of endorsement appended.
12. **Membership Policies.** Describe the policies and requirements for approving Rutgers and non-Rutgers members, including the responsibilities and benefits of membership.
13. **Member Participation.** Provide an initial list of participating faculty (include home academic department) and staff, and their expected roles/contributions.
14. **Space.** Where will the CI's staff and activities be housed? Is the physical space adequate? Please break out space for clinical, technical, or research activities, administrative space, public space, storage, etc. If there is a need for more space, what plans exist to accommodate this need? Have the departmental/sponsoring unit and school/college facilities staff been consulted? If an existing campus unit or an academic department will provide such space, include this information in the letters of endorsement appended. Has the Office of Space Management been consulted and informed of the space to be used by the CI?
15. **Data and Equipment.** Describe any existing or new data needs, including software, as well as any equipment needs associated with the proposed CI and how these needs will be met.
16. **Endorsements.** This includes shared, similar or overlapping interests, as well as shared resources. It must be demonstrated that relevant units have received drafts of the plan and that concerns are addressed or accounted for in the final version submitted for approval. Letters of endorsement may be appended to the proposal. Issues to address include:
 - a. Does the CI's function or organization overlap the efforts of departments, schools, colleges, or other CIs at the University?
 - b. Does the CI have the support of those who may be affected by it? The proposal should provide evidence that all interested units are aware of plans for establishing the CI and were afforded an opportunity to comment on the proposal to establish the new entity. Early communication may help in discovering individuals with similar interests and in fostering their participation.
 - c. Will the CI draw on another unit's resources? ("Resources" include staff, courses, and space as well as faculty time). If so, those units should be asked to provide a memo of support for the endeavor, and in it, to articulate a shared understanding of their contribution to the CI.

- d. Proposals should include written comments on the proposal, and endorsements from department chairs, Deans, Directors, and/or key faculty who will provide essential support for and who have an interest in the new CI.
17. **Evaluation.** What is the proposed evaluation process for the CI? The process should reflect the size and breadth of the CI's activities. Explain the goals and expectations of accomplishment (these must involve clear outcomes and measurable impacts and they will serve as key elements in the review at the time renewal is considered). These include programmatic, fiscal, and organizational aspects of the proposed CI.
18. **Impacts.** How does the proposed CI align with institutional strategic planning priorities? Will the proposed CI draw new kinds of talented faculty and/or students? Is the focal area critically important to the success of the University? Is it potentially transforming? Will it allow Rutgers to become the leading program among peer institutions? Does it increase the potential for conducting higher levels of research? Does it increase the potential for securing major grant funding? Does it impact on others beyond those participating in the initiative itself? Describe any possible impact on instruction or tuition revenue.
19. **Timeframe.** Describe the proposed schedule for securing the requested commitments and moving forward with the establishment of the CI. Include expected milestones and deliverables.
20. **Life Cycle: Growth or Discontinuation.** CIs should have clearly defined missions that address specific goals. The issues that stimulate creation of these units will evolve, and it is important to consider the ongoing need for the CI. The proposal should address the expected life cycle for the CI: under what circumstances should it cease to exist? For example, CIs should be closed when faculty cease to participate, when new leaders cannot be identified, when resources that support the CI are no longer available, or when its original purpose is no longer relevant. The proposal must include specific "sunset" provisions appropriate to the CI being proposed.

Procedures for the Submission of Proposals to Establish a New CI

1. 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 (BOG) in accordance with the classification of the CI based on level of approval and reporting relationship, as described in Policy Library Section 10.1.5 Paragraph A. 1-5.
2. For proposed CIs seeking classification as Board of Governors-level, Presidential-level CIs, or Chancellor- or Senior/Executive Vice President-level CIs, the President will seek the advice of the University Senate before deciding whether or not to approve the proposed CI.
3. The CI approver, in consultation with the proposed CI Director's supervisor, will decide whether or not to allow the proposed CI to move forward and will notify the person proposing the CI of the decision (with copies to all appropriate Deans, Chancellors, Vice Presidents, etc.). If approved, the notification of approval will include the length of time for which the CI is approved (up to a 5 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.

Rutgers Centers and Institutes: Periodic Progress Report Information

CI Periodic Progress Reports should include (as appropriate), but not be limited to, the following information. Additional information may be requested by the reporting unit. For Rutgers Centers and Institutes that are nationally designated (e.g., the Rutgers Cancer Institute of New Jersey by the National Cancer Institute), the progress and designation renewal reports required by the national accrediting agency may serve as the periodic progress reports, as appropriate, subject to the approval of the CI approver, in consultation with the CI Director's supervisor.

1. **Changes from Prior Years.** An assessment of changes from prior years in the CI's status.
2. **Progress.** A summary of progress toward the objectives cited in the CI proposal document and/or the prior progress report.
3. **Objectives.** Updated short- and longer-term objectives.
4. **Quantitative Benchmarks.** (See Appendix 1.)
 - a. In a CI's initial periodic progress report, a listing of quantitative benchmarks should be accompanied by retrospective tables providing historical performance.
 - b. In subsequent progress reports, the CI's current performance with respect to its quantitative benchmarks should be added to the data compiled for prior years.
 - c. Financial Status. A year-end budget for the last 3 years showing all sources of income (i.e. grants, service fees, membership fees, F&A return, etc.) and expenses. Revenue and expense projections for the upcoming year.
5. **Publications.** A listing of publications that are a part of the CI's programs.
6. **Awards and Proposals.** A summary of the CI's research and other awards and proposals. (These data can be provided by the Office of Sponsored Research.)
7. **Public/Private Partnerships.** A summary of public and private partnerships; indicate any resources (both financial and intellectual) that these partnerships have generated.

Procedures for the Submission and Review of CI Periodic Progress Reports

1. Six months prior to the renewal/dissolution 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.
2. Since many existing CIs do not have an explicit renewal/dissolution 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.
3. Periodic progress reports are required for all CIs (new and existing). Should this review process conflict with existing contracts or agreements, the CI Director should still prepare a report for review, which will be evaluated in the context of the existing contracts/agreements.

4. The CI Director should submit the progress report to the CI approver, with a copy to the CI Director's supervisor, no later than three months before the specified CI renewal/dissolution date.
5. Upon review of the progress report, the CI approver, in consultation with the CI 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.
6. After receiving all specified input, the CI approver, in consultation with the CI 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, the President will seek the advice of the University Senate before making the final decision to dissolve a CI.
7. Once a final decision is made, the CI approver will notify the CI Director of the outcome of the review, with copies to the CI Director's supervisor and all appropriate Deans, Chancellors, Vice Presidents, etc.
8. If the CI is renewed, the notification should include a justification for the renewal (including any internal or external review reports), any changes in funding, staff, or space, the length of time for which the CI is renewed (not more than five years), and the criteria, timeframe, and conditions under which the CI will next be evaluated for renewal.
9. If the CI is not renewed, the suspension/dissolution must consider contractual obligations and employment agreements with faculty and staff. As such, suspension/dissolution of a CI requires a plan to reorganize human resources, institutional and external funding, and infrastructure issues within the organizational framework of the University. This plan must be spelled out in the suspension/dissolution notification to the CI Director, along with a justification for the action being taken (including any internal or external review reports).
10. 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.
11. The outcome of the review is shared with the Office of Institutional Research and Academic Planning for its records.
12. The Office of the Senior Vice President for Academic Affairs will be responsible for monitoring the schedule of CI reviews to ensure that they are being carried out in accordance with the University Policy on Centers and Institutes.

Appendix 1. Rutgers Centers and Institutes: Periodic Progress Report Information, Benchmarks* (Examples)

Faculty

CI publications: number; index of quality/impact

Citations of CI publications

Intellectual property disclosures, patents, licenses, start-ups

CI faculty who are members of the national academies or comparable bodies

CI faculty awards from professional societies

Other CI faculty member honors/recognition

Collaborations

Internal: departments/schools represented by faculty/staff involved in collaborative research and other activities

Public/Private Partnerships: academic institutions, industrial partners, federal laboratories, other external entities involved in collaborative CI research and other activities

Education

Educational courses and programs

Training programs

Other educational programming, including symposia and colloquia for internal and external audiences

Outreach

Industrial/external relations programs

Educational outreach programs (e.g., high school students, teachers)

Service to society

Funding

Externally funded research and other awards

Total CI award activity (including awards to CI-affiliated faculty that are an integral part of the CI's program but are administered by the department)

Research/Activities funded by University or CI funds

Research and other expenditures

Research and other proposals submitted

Resources

Diversity of funding sources

Amount of discretionary funds

Personnel

Facilities and assets

Tangible return to Rutgers

Fiscal return

Support for students/fellows (doctoral, postdoctoral, undergraduate)

Shared research/other facilities

Intellectual property

*CIs are encouraged to use data from the Rutgers Faculty Survey, as appropriate, when completing the Benchmarks section of the Report.