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*Policies and Procedures for
Establishing, Managing, and Reviewing
Research Centers
At Northeastern University*

Original Version Prepared by
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Northeastern University

Policies and Procedures for Establishing, Managing, and Reviewing Research Centers

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RESEARCH CENTERS

I. INTRODUCTION

A **Research Center** or **Institute** (hereinafter referred to only as **Center**) is a unit within a discipline or a cross-disciplinary unit whose primary focus is on research in a specific area. It involves several faculty members (hereinafter referred to only as **Associates**) and has goals not otherwise achievable by the individual efforts of these faculty. Although the primary focus must be on research, a center may also undertake a service mission, including a teaching component. A center cannot offer degree programs, but can offer non-transcript/non-credit certificate programs with proper approval as indicated by applicable university bylaws or policies. A center should also foster collaboration among faculty, departments, and colleges, and facilitate external relations with other research enterprises and grant-funding agencies.

The establishment of a center may be warranted when a group of interested faculty has the potential to obtain long-term funding to pursue research and to provide, where applicable, services that are consistent with the mission and strategic goals of the University.

Some centers are formed from block funding offered by a federal or state government agency, private or corporate sponsor, foundation, or endowment. Others may begin as programs or consortia that are spawned and nurtured by a few key faculty “from the ground up,” where the center’s continued viability depends upon the dedication of these faculty. A center may also be a **Membership Center**, to which corporate and/or government sponsors (hereinafter referred to only as **Members**) pay membership fees that are used to fund research and from which they may benefit. On occasion, a center may include a combination of these facets within a single organization.

II. PURPOSE OF THIS DOCUMENT

The Policies and Procedures for Establishing, Managing, and Reviewing Centers (hereinafter referred to as **Policies and Procedures**) will act as university-wide guidelines for the **Provost, Vice Provost for Research and Graduate Education** (hereinafter referred to as **Vice Provost**), **Research Council, Deans, Department Chairs, Center Directors, Faculty**, and anyone else involved in the creation, management, or review of centers. The Policies and Procedures are specifically intended to facilitate the establishment of new centers, as well as define responsibilities in the management and review of existing centers. These policies will be implemented by the Research Council and the Provost’s Office.

III. ADMINISTRATIVE STRUCTURE AND RESPONSIBILITIES

All centers must have a **Director** and an **Advisory Committee**. In addition, membership centers must have an **External Advisory Board**. A non-membership center may also have an External Advisory Board. The External Advisory Board, where applicable, may be a part of the Advisory Committee or may exist independently of it or may replace an internal Advisory Committee. Such arrangements as well as the specific duties of the Director, Advisory Committee, and External Advisory Board may vary according to the center's goals and objectives, or the requirements of a sponsor's contracts, and will be fully defined in the center's charter.

The director has the first-line day-to-day administrative oversight, and must provide leadership to the center. The director's primary responsibilities include: ensuring that the center conducts research and provides service consistent with its mission, goals, and objectives as stated in its charter; interacting with Northeastern faculty and administrators, as well as external constituents on behalf of the center; and seeing that all reports are submitted as required; and making sure all agreements are met.

The director, as well as the chair and members of the Advisory Committee and, where applicable, those of the External Advisory Board for each center are established by the dean of the college where the center resides or through which the center has evolved, or, in the case of inter-college centers, by the Vice Provost in consultation with the appropriate deans. The initial director will normally be chosen from the program through which the center has evolved and will be heavily involved in the planning process. The appointment of the director will be for a fixed renewable term, but for no more than five years without review.

Faculty will be recommended for appointment as Associates of the center by the director in consultation with the existing associates. Tenure will not be awarded in a center. An associate's appointment will be approved by the dean of the faculty associate's college. The director of the center will provide information to a faculty associate's department or the equivalent unit as part of tenure or promotion process, or periodic faculty evaluation.

The Advisory Committee or External Advisory Board, whichever is appropriate, will have the responsibility of providing academic oversight for the center and monitoring that the activities of the center are conducted in a manner consistent with its stated mission, goals, and objectives. It will be the responsibility of this committee or board to give advice to the director concerning internal projects to be funded from seed funds or from block funds set aside for that purpose in a funded research project, and consider recommendations from the External Advisory Board where applicable. In the case of centers where there is no External Advisory Board, this committee will make recommendations about the expenditures of center funds and new directions of the center, and approve changes to the mission of the center. The Advisory Committee or External Advisory Board will meet at least annually and the committee or board chair (who shall not be the center's director) will have the responsibility to see that the deliberations of the Advisory Committee are detailed in writing. The dean(s) (or their designees) who have a vested interest in the center and the Vice Provost will be invited to attend all Advisory Committee meetings.

An External Advisory Board may include qualified representatives from corporations, professional organizations and academic communities, and, if it replaces an internal advisory board, it must have adequate representation from the academic units concerned (colleges and departments) among its members. The External Advisory Board for a membership center will include a representative from each of the center members. The Vice Provost will be an *ex officio* board participant regardless of the type of center. A board chair will be selected from among its members. The board will monitor the center's financial status, help recruit new members, make recommendations to the Advisory Committee about the goals and new directions of the center, and changes to the mission of the center. It will measure the center's accomplishments against its goals and provide long-range guidance for the center's major direction and strategy. The chair of the board will have the responsibility to see that the deliberations of the board meetings are detailed in writing. The center's director will keep the participating dean(s) or Vice Provost informed as to the recommendations of the External Advisory Board.

IV. ESTABLISHING CENTERS

The establishment of a new center must be based on the set of criteria listed in Table 1, and is a three-step process involving **Planning, Provisional Approval and Approval** (as indicated in the chart in Appendix A). Initially, a Center will be authorized for a maximum of five years. If the initial five-year review is positive, a Center may be reauthorized as a separate action by the Provost, in consultation with the Vice Provost and deans to continue for an additional period of up to ten years. Reauthorization as described above is necessary at least every ten years in order for a Center to continue.

Table 1. Criteria for Establishing New Centers

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| 1.1. | Several faculty with long-term interest in the mission of the proposed center. |
| 1.2. | The likelihood of continued pursuit of the mission of the proposed center for a sustained period of at least five years. |
| 1.3. | A good fit with the mission and strategic goals of the University. |
| 1.4. | No substantial duplication of research of an existing center, department, or college. |
| 1.5. | Objectives not otherwise achievable by the efforts of individual faculty or existing units. |
| 1.6. | An internal or external source identified for seed funding of the center. |
| 1.7. | Identification of likely long-term external funding sources for the center. |
| 1.8. | The prospect of meeting evaluation criteria listed in Table 4 for established centers within a five year period. |

A. Planning

Faculty interested in creating a center will discuss with appropriate department chair(s) and dean(s), in general terms, all of the items listed in Table 2. If more than one college faculty are involved, the appropriate deans will discuss the planning of the center with the Vice Provost.

Table 2. Items to be Addressed in the Discussion Phase

- 2.1 The relationship of the center to the mission and strategic goals of the departments(s), college(s) and the University.
- 2.2 An outline of the goals and objectives of the proposed center.
- 2.3 The rationale for establishing the center.
- 2.4 Information about any similar units that exist at the University or in the local area and any proposed relationships with them.
- 2.5 Faculty to be involved (including the name of the proposed Director).
- 2.6 Organizational structure (including the Advisory Committee and, where applicable, External Advisory Board).
- 2.7 The sources, amounts, and duration of funds required to initiate and sustain the research (and the service function), if authorized.
- 2.8 The identification of required matching or cost sharing funds.
- 2.9 Space and capital equipment needs/requirements and operational funds.

Table 3. Items to be Addressed in the Preparation of Proposal

- The name of the proposed center.
- The specific mission, objectives, and goals. Two- to three-year activity plan.
- The name and qualifications of the proposed Director, and a detailed description of the proposed Advisory Committee, and, where applicable, of the External Advisory Board, administrative structure, and staffing.
- Budget estimates for the first year of operation, projections for the following two years, and anticipated sources of funding.
- A description of immediate space needs and realistic projections of future needs.
- A statement of capital equipment needs/requirements.
- The center's relationship to or its potential impact upon the existing academic departments, colleges and other centers.
- A statement about anticipated effects on educational programs at the University, and the provisions for advanced or graduate training.
- A statement of impact on university support services (i.e., library resources, computing, etc.)
- Any additional information that may bear directly upon the proposal.

Because so many of the resources (e.g. faculty release time, overhead return, space, etc.) are of special concern to departmental interest, the dean(s) must include the department chair(s) in all phases of the planning process, as well as in the management and disestablishment of the center.

If the participating department chair(s) and dean(s) support establishment of the proposed center, the proponents will prepare a proposal that addresses all of the items listed in Table 3. The initial review of the proposal will be conducted by the college's dean in consultation with the departments chair(s), or by the Vice Provost if more than one college faculty are involved in the establishment of the proposed center. In the case of inter-college proposals the Vice Provost will seek the participating deans' recommendations. If necessary, the proposal will be sent back to the proponents for revision. Preliminary proposals for intra-College Centers will be shared with the Vice Provost who will circulate a summary of the proposed Center's interests among faculty in other Colleges to determine if other faculty may desire to seek affiliation with the Center.

Long-term funding sources for the proposed center must be external to the University. A portion of the start-up funds may be provided internally. However, such support should be regarded as a means for leveraging external support and not an end to itself. Evidence should be provided in the proposal that such funds are committed and renewable.

B. Provisional Approval

Upon endorsing the proposal, the dean will establish the administrative structure by nominating the proposed director, faculty associates, and chair and members of the Advisory Committee, as well as those of the External Advisory Board where applicable, and will forward the proposal to the Vice Provost for approval. In the case of the inter-college centers, the Vice Provost will endorse the proposal and establish the administrative structure of the center.

C. Approval

After a collaborative review in the Provost's Office the Vice Provost will formally forward the proposal to the Provost, requesting the establishment of the center. The proposal will next be discussed by the Deans Council and that body will recommend to the Provost that the proposal be approved, returned for revision, or rejected. If establishment is supported by the Deans Council, the Provost, in consultation with the Vice Provost, will authorize the establishment of the center and inform the appropriate dean(s), in writing, of the decision. The President, Research Council and the academic community will be informed about the approval of all centers.

V. MANAGING AN ESTABLISHED CENTER

Management of an established center is a multifaceted oversight function operating on several levels. Specifically, this management includes: coordinating, monitoring and reviewing center's activities and plans through periodic contacts (Advisory Committee and External

Advisory Board meetings, site visits, periodic evaluations, etc.), and reporting (annual written reports); modifying center activities and plans as required; and when warranted, abolishing a center.

The director has the primary responsibility for providing the general administrative oversight of the center and ensuring that the center's financial accounts are properly maintained. The director will also keep the participating dean(s) and/or the Vice Provost, as well as the chair(s) who have vested interest in the center's activities, appraised of the activities of the center and will obtain agreement from the dean(s) and/or Vice Provost on important center issues. The director's responsibilities also include submitting all required reports and evaluations to the dean(s), the Vice Provost and the appropriate funding agencies in a timely fashion. The director will invite the dean(s) (or their designees) who have a vested interest in the center and the Vice Provost to attend all Advisory Committee meetings and external funding agency on-site visits.

Each center is required to submit written reports annually to the Vice Provost, as well as to the appropriate dean(s) and the chair(s) who have a vested interest in the center. The annual report must address, at a minimum, all of the items listed in Appendix B. The dean(s) or the Vice Provost will have the overall responsibility of monitoring the status and performance of each center under their administrative oversight. At least once a year, directors will meet with the dean(s) and/or the Vice Provost in the case of interdisciplinary centers to make sure that all goals, objectives, and agreements are being met.

VI. EVALUATION OF CENTERS

Though circumstances may require an immediate review, normally each center and its director will be evaluated every five years. (The center and the director evaluations will be separate processes.) A center may be evaluated at any time, upon the authorization of the Provost, in response to a request by the faculty associates, advisory committee, participating department chair(s), dean(s), or the Vice Provost. Any extraordinary evaluation will be made by an external or internal review panel assembled by the Vice Provost, and may include a financial audit. Additional or more frequent audits or evaluations may also be necessary as mandated by the center's charter or a contract with a funding agency.

The **five-year periodic review** will be conducted by a three-member panel appointed by the **Research Council**. The chair of the review panel must be a member of the Research Council. One of the other two panel members may be an external member at the request of participating dean(s) or the Vice Provost. At least one of the two panel members will be selected from a list of five names submitted by the center's director, documenting the nominees' credentials and qualifications. The Research Council may prefer to select the third member (internal or external) from a list of five names requested of each of the participating deans. The Vice Provost will issue the formal letter of invitation to the prospective reviewers.

For those instances in which a different evaluation process has been established for a center, either as a requirement of external funding or because of the center's purpose, variation in the use, appointment and composition of the review panel shall be permissible. In such instances,

the evaluation process shall be specified during the center's formation and endorsed by the appropriate Dean or Vice Provost as part of the center approval process.

During the spring quarter, the Vice Provost, as chair of the Research Council, will notify the participating dean(s) and the center director that a review will be conducted during the subsequent academic year and ask that, in the meantime, a self-study report be submitted to his/her office by October 1. All five-year periodic evaluations will be based on the criteria in Table 4, and the self-study report must be prepared accordingly.

Table 4. Criteria for the Periodic Evaluation of Established Centers

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| <p>4.1 Does the current operation agree with the center's stated mission, goals or objectives?</p> <p>4.2 Does it duplicate the efforts of other centers or units at the University?</p> <p>4.3 Is the center being managed properly? (Were any serious problems discovered?)</p> <p>4.4 Is faculty participation sufficient to continue the center's operation?</p> <p>4.5 Is the quality of scholarly activity by faculty associates, professional staff, and students reflected in its output (publications, patents, copyrights, etc.)</p> <p>4.6 Is support and training of graduate students consistent with the center's stated goals?</p> <p>4.7 Is current funding sufficient to continue its operation?</p> <p>4.8 Are required matching funds, start-up funds, or capital equipment still appropriate and available? (Has the center been able to attract sufficient external funds to continue without additional institutional support?)</p> <p>4.9 Is space required for the operation of the center available?</p> <p>4.10 How are the center's clients (as identified in the center's charter) being served?</p> |
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The chair of the review panel (or the evaluator, if that approach is used) will work with the center's director to set up a review schedule. Normally, the panel (or evaluator) will tour the facilities, meeting individually with the director, faculty associates, key staff, and groups of students. The panel (or evaluator) will also meet with the Vice Provost and the participating dean(s) and may interview the department chair(s) who have a vested interest in the center. After the review the panel (or evaluator) will submit a report to the Provost detailing its findings and recommend one of the following four possible courses of action:

1. **Continue the Center.** If the review demonstrates that the center continues to meet the established criteria, then the decision to reappoint the same director (or appoint a new director) and to make changes (if any) in the title, mission, goals, objectives or organization of the center will be made.

2. **Combine with an Existing Center.** If the review demonstrates that two or more centers have similar specific missions and goals then it may be decided to consolidate these centers into a single unit.

3. **Institute a Probationary Period.** If the review establishes that the center has not met the established criteria, the decision may be to give the director up to two years to take necessary actions to correct the findings before a second review is scheduled at the end of the probationary period.

4. **Abolish the Center.** If there is a loss of funding or key faculty, or the center is otherwise deemed to no longer be viable the decision may be made to abolish the center.

When received, the Provost will send copies of the panel's final report to the center director, participating dean(s), the Vice Provost, as well as to the chair(s) who have a vested interest in the center. The Provost will then schedule a meeting with them to discuss the review. The Provost will have the ultimate responsibility to decide upon future actions.

VII. FINANCIAL AUDIT

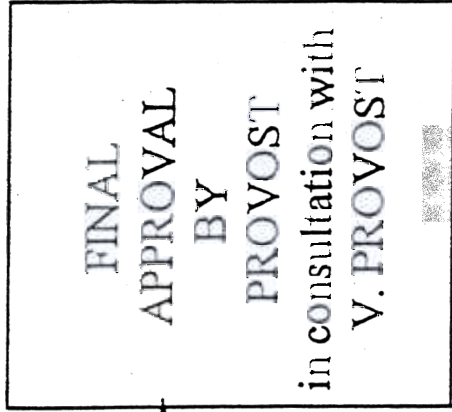
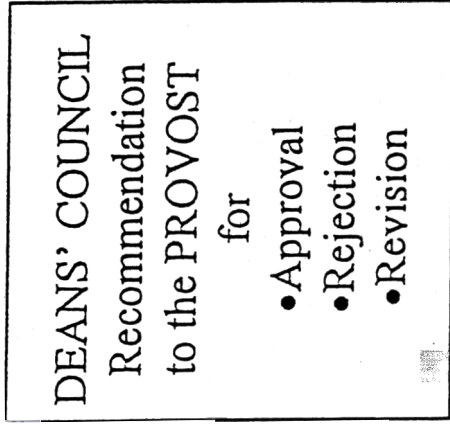
When required by an external granting agency, an external financial audit will ordinarily be conducted by auditors selected by the granting agencies. When no external audit is required, an internal audit may be conducted by the Provost's Office at the request of the dean(s) or the Vice Provost.

VIII. REVIEW OF CENTER PROCESS

The policies and procedures set out in this document shall be reviewed by the University Research Council two years after its implementation to assess their adequacy and efficacy. The Research Council shall review this policy on a periodic basis in subsequent years.



PRE APPROVAL



APPENDIX B

ITEMS TO BE ADDRESSED IN ANNUAL REPORTS

a) **Mission.** How the center's activities fulfilled its stated mission, goals and objectives.

b) **Staffing.**

List of center's associates. Include as an appendix a current curriculum vitae for each.

List of other affiliated personnel and the nature of their connection to the center.

Description of current governance and administrative structure.

Plans for further development of core membership and/or collaboration with other units (both on or off campus) to further the mission and goals of the center.

c) **Research**

A list of external and internal grants received or held during the year (cite funding sources, level and duration of support, principal and co-principal investigators, and other participating center members).

Summary of outcomes for each research project area during the year, fully citing achievements in at least the following categories where publications include both print and electronic:

- journal publications
- monographs
- books
- working papers
- conference papers
- conferences sponsored
- patents
- copyrights

Summary of future research plans and goals, as well as funding projections for planned activities.

d) Resources and Facilities.

Summary of the resources available to the center.

Summary of the facilities available to the center.

Description of other available support services integral to the activities of the center (e.g. library holdings, computer facilities, other laboratory equipment).

Resource implications for proposed new areas of research activity.

Evaluative commentary on resource and facilities.

e) Teaching.

Number of graduate and undergraduate students supported on center research grants.

Number of dissertations on center-related projects directed by center associates.

Non-transcript/non-credit programs and courses offered. A list of colloquia and seminars organized by the center. Other teaching related activities.

Description of other collaborative teaching activities undertaken with academic departments

f) Outreach.

Describe outreach and service activities to the University, profession and the community.

**ADDENDUM TO POLICIES AND PROCEDURES FOR
ESTABLISHING, MANAGING, AND REVIEWING RESEARCH
CENTERS AT NORTHEASTERN UNIVERSITY (8-20-02)**

I. Definitions

- A. A **center** is an academic unit established under Northeastern’s “Policies and Procedures for Establishing, Managing and Reviewing Research Centers”. A center may focus on one discipline, or may be interdisciplinary. Accordingly, centers may be located within a department or college, may involve participants from more than one department within a college, or may involve individuals from multiple academic units across colleges. [A center is often a subordinate unit within a department, college, school or institute.] The primary purpose of a center is to sponsor, coordinate, conduct and promote research; however, a center may also engage in service activities or offer instruction/training, on a non-degree-granting basis. Other entities called “centers” whose purpose is to provide services to the University community (for example, day care centers, teaching or learning centers, computer centers, etc.) shall not be considered “centers” for the purposes of this policy.
- B. An **institute** is a distinct and free-standing unit of substantial size. It may also be focused on one discipline or may be interdisciplinary. The primary focus of an Institute’s activity is research, although an Institute may undertake non-research service activities and initiatives. In general, however, an institute often has a much broader mission and set of goals and objectives than a center and usually involves a greater interdisciplinary and inter-institutional involvement of faculty. An institute may establish centers (in accordance with established University procedures) or programs as administrative units within its organization. Often, there is a stronger expectation of permanency for an institute.
- C. While research units as described in (A) and (B), above are commonly designated “centers” or “institutes”, Northeastern may, as appropriate, utilize an alternative title to identify an academic unit which otherwise satisfies the definition of (A) or (B), above.

II. Limitations on Center and Institute Authority

Centers and institutes (defined herein to include their functional equivalents) supplement the activities of traditional academic units, and may not duplicate the functions of those units. They should not be considered as an alternate route to secure a faculty appointment. In addition,

centers and institutes as well as their functional equivalents may not (1) confer degrees, (2) independently appoint faculty members, (3) confer tenure, or (4) acquire capital equipment which is not inventoried to the University. Centers and institutes may partner with an academic unit to offer a regular course in conjunction with the academic unit.

III. Management of Centers and Institutes

- A. For **centers or institutes that reside within a single academic department or non-departmentalized college**, oversight of the center or institute shall be the responsibility of the chair or dean, and the director of the center or institute shall report to the chair or dean. The dean, in consultation with the Vice Provost for Research and Graduate Education (“Vice Provost”) and the chair, where applicable, shall determine which of these individuals is charged with this oversight/supervisory responsibility. In the case of a center or institute which resides within a single academic department, in determining to whom the center/institute director will report, the dean and Vice Provost shall consider whether it is more appropriate for the center/institute director, in his/her director capacity, to report to the department chair or to the dean. A significant factor in the decision should be the percentage of time the center director will be expected to expend on his/her center/institute activities versus his/her responsibilities as a faculty member of the department.
- B. For centers or institutes which reside **within a single college**, but whose research is interdisciplinary and **involves faculty from more than one department**, oversight of the center or institute shall be the responsibility of the dean, and the director of the center shall report to the dean.
- C. For centers or institutes whose research is interdisciplinary and involves **faculty from more than one college who are significantly involved in the activities of the center or institute, and/or where two or more deans each provide substantial non-faculty/non-monetary resources (e.g. labs, office space, etc.) to the center or institute**, oversight of the center or institute shall be the responsibility of the Vice Provost, and the director of the center or institute shall report to the Vice Provost. A University Interdisciplinary Center/Institute/ Programs Operations Review Committee (“IORC”) shall assist the Vice Provost in overseeing these centers/institutes. However, if the Provost believes that an interdisciplinary center or institute which would otherwise report to the Vice Provost under these guidelines is not truly cross-college or does not advance a university-wide interest which would be furthered by centralized oversight, the Provost may determine that oversight for that center or institute shall be the responsibility of a designated Dean(s).

The IORC shall be comprised of three academic deans, one faculty member from the Senate and the Vice Provost, who shall serve as the IORC chair. (When the IORC is dealing with matters related to undergraduate interdisciplinary educational programs, the Vice Provost for Undergraduate Education will replace the Vice Provost for Research and Graduate Education on the IORC and serve as the chair.) Deans shall serve for three-year terms; however, terms for the first three deans appointed shall be for one, two and three years respectively, so that terms may be staggered from that time forward. The IORC shall be appointed by and report to the Provost, in consultation with the Vice Provost.

The IORC shall be responsible for:

- a) Overseeing the implementation of Northeastern University's "Policies and Procedures for Establishing, Managing and Reviewing Research Centers" (including this addendum) with respect to centers and institutes under its jurisdiction;
- b) Receiving and reviewing the annual reports of the centers and institutes under its jurisdiction;
- c) Annually reviewing and evaluating the budgets of the centers and institutes under its jurisdiction and making appropriate recommendations;
- d) Annually reviewing and evaluating various interdisciplinary educational programs under its jurisdiction and making appropriate recommendations;
- e) Recommending the appointment/reappointment of the directors and principal personnel of the centers and institutes or interdisciplinary educational programs under its jurisdiction, including the Advisory Board and the External Advisory Board; and
- f) Making recommendations to the Provost regarding the activities and administration of the centers and institutes under its jurisdiction as well as the formation of new interdisciplinary educational programs.

At his/her discretion, the Provost may ask that the IORC assist the supervising chair or dean in overseeing a center or institute which resides within a single department or college. The Provost may also remove a center/institute from Vice Provost/IORC oversight, and place oversight authority within a single department or college.

IV. Center or Institute Faculty

Tenured faculty who participate in centers or institutes are tenured only in their home department, school or college ("academic unit"); they do not

acquire tenure in the center or institute. The primary appointment of tenure-track faculty who participate in centers or institutes will remain in their home academic unit, and if they receive tenure, their tenure will be in their home academic unit. New tenure-track faculty whose appointments will include participation in centers or institutes will be appointed to an academic unit in accordance with regular Northeastern appointment procedures. However, search committees for those faculty must include representation from the center or institute in which the tenure-track faculty member will participate. If the level of participation of the new tenure-track faculty member in the center or institute will be significant (at least 25% of the faculty member's load over a minimum of two consecutive years), the candidate may not be appointed without the support of the center or institute representative(s).

Tenure and/or promotion considerations will be initiated and conducted by the faculty member's home academic unit, in accordance with *Faculty Handbook* and unit procedures. However, the tenure and/or promotion consideration must include the recommendation of a center or institute director if at least a quarter of the faculty member's assignment has been in the center or institute during a significant portion of the review period. Likewise, annual reviews and merit evaluations for faculty who are assigned to an academic unit and to a center or institute shall be conducted by the faculty member's home academic unit in accordance with *Faculty Handbook* and unit procedures, but must include a recommendation from the center or institute director. With regard to each of these considerations, the input of the center/institute director must be sought and considered, but is not controlling. Disputes regarding these performance evaluations shall be addressed by the dean or Vice Provost, as appropriate.

Annual evaluations, reappointment decisions and merit reviews of non-tenure-track faculty will be conducted by the unit to which the faculty member is primarily responsible, but will include an evaluation/ recommendation from the supervisor in the non-primary unit. If the assignment of a non-tenure-track faculty member is shared equally between an academic unit and a center or institute, the evaluation and merit review shall be conducted jointly.

Unless otherwise provided in a written agreement signed by the University and the faculty member, any tenured or non-tenured faculty member affiliated and working with a center or institute (full or part-time) may return to his/her academic unit on a full-time basis at the completion of the then current academic year. The faculty member must provide at least three months notice to the director of the center or institute and the head of the academic unit (with a copy to the Vice Provost) of his/her intent to return to his/her academic unit.

A faculty member, center or institute director and the head of an academic unit may negotiate an agreement to buyout a faculty member's time or may agree to fixed term appointments in the other unit. These agreements shall be in writing and must be signed by the faculty member, the Director of the center or institute and the head of the academic unit. For centers or institutes which report to the Vice Provost, these agreements must be approved by the Vice Provost. Fixed term appointments may be for one year only, but are renewable upon the agreement of all parties.

V. Confidential Information

If confidential information associated with a center/institute project is to be disclosed in writing by a center or institute to a member or affiliate, it shall be identified as confidential on the face of the writing at the time of disclosure. If confidential information is disclosed orally to a member or affiliate, the confidential nature of the information must be confirmed in writing within fourteen (14) days of disclosure.

If confidential information is disclosed by a center/institute member or affiliate to a faculty member of a center or institute, it is the responsibility of the member or affiliate to secure a written confidentiality agreement from the faculty member. The University shall not be deemed a party to any such confidentiality agreements. If a director of a center or institute is asked by a member or affiliate to sign a confidentiality agreement regarding the disclosure of confidential information from the member or affiliate, the director must contact the Office of University Counsel/ Division of Technology Transfer to review and approve the confidentiality agreement before signing.

VI. Grants and Contracts

Centers or institutes are responsible for the initial and ongoing management of grants and contracts which they receive. The University, however, will continue to handle the administration of all grants and contracts. All proposals which centers or institutes submit to external agencies must comply with all applicable University policies and procedures.

Return of overhead from grants held by centers or institutes which report to the Vice Provost will be distributed as follows: 10% to the principal investigator, 10% (which would otherwise go to the department) to the center or institute, and 10% (which would otherwise go to the college) to

be divided among the participating department(s) and/or college(s) as determined by the Provost's Office.

VII. Distribution of License and/or Royalty Fees

License and/or royalty fees which are generated by activities of centers or institutes which report to the Vice Provost will be distributed in the following way. Prior to any distribution, the University reserves the right, at its discretion, at such a times and in such amounts as it deems appropriate under the circumstances, to deduct the following items from gross royalty revenues costs and expenses associated with litigation and other activities which may be incurred either in obtaining rights to inventions, in marketing inventions, or in enforcing or defending patents filed as a result of University-sponsored inventions. Net license and/or royalty fees are computed by subtracting such patent costs and a nominal marketing cost from the gross royalty revenues. These net fees are distributed as follows: 30% to the principal investigator; 30%- divided as follows: 15% to support the principal investigator's research and 15% allocated between the center or institute and the principal investigator's home academic unit as determined by the Provost's Office; and 40% to the University.