



DIVISION *of* ACADEMIC AFFAIRS Office of Research

1. Policy Statement

1.1. This policy articulates the authorities, processes, and procedures for establishing and disestablishing research centers, institutes, and core facilities at the University of Maryland Eastern Shore (“university”).

2. Purpose of Policy

2.1. The mission of research centers, institutes, and core facilities at the university is to motivate, facilitate, and support UMES faculty, grow the university’s research and education enterprise across colleges and disciplines, increase the capacity for multidisciplinary research, and foster collaboration among faculty, staff, and/or students.

2.2. This university policy provides a standard process for creating, reviewing, and disestablishing university research centers, institutes, and core facilities.

3. Scope & Audience

3.1. This university policy applies any time a university research center, institute, or core facility is established or disestablished.

3.2. This policy applies to any organization or group within the university that meets the definition of “Center,” “Institute,” or “Core Facility” under this policy.

4. Definitions

4.1. “Academic Director” means the head of a School within a College, who is equivalent to a Department Chair.

4.2. “Approval Authority” means the administrator or administrators with authority and oversight of the establishment, review, and termination of a Center or Institute. Depending on the level at which the entity operates, the Approval Authority may be a Department Chair, a Dean, multiple Deans, the Dean for Research, the Provost and Vice President, or the President.

4.3. “Center” means an academic and/or research-based entity, which engages faculty, staff, and/or students in areas of specialized focus within one Unit or across multiple Units. A Center may be affiliated with an external agency and/or laboratory.

- 4.4. "Department Chair" means the head of an academic department.
- 4.5. "Director" means the head of an academic and/or research-based Center or Institute
- 4.6. "Institute" means an academic and/or research-based entity with prominence and stature that is typically intended to have a level of permanence similar to that of an academic department. Institutes engage faculty, staff, and/or students in areas of specialized focus within a College, across multiple Colleges, or University-wide. An Institute may be affiliated with an external agency and/or laboratory.
- 4.7. "Multi-Institutional Center or Institute" means an entity created collaboratively between the University of Maryland Eastern Shore and another institution, in order to advance the missions of both institutions or of the University System of Maryland (USM).
- 4.8. "Unit" means an academic and/or research-based department, Institute, College or School, or Division.
- 4.9. "Research Council" A standing body of the University of Maryland Eastern Shore Faculty and/or staff that establishes policies for matters pertaining to sponsored research activities.
- 4.10 "University Core Facility ("Core Facility"): A unit established on a continuing basis for the provision of strategically important research services that are significantly beyond the budget or skill of a single investigator, or that are significantly more efficient if provided centrally. Its services may be provided intramurally or extramurally. Core facilities are multidisciplinary in nature and report to the Office of Research.

5. Responsibilities

- 5.1. A research organization will be designated a center, institute, or core facility only if it serves to bring together a group of people dedicated to addressing specific interdisciplinary research problems. A center, institute, or core facility may be virtual or physical.
- 5.2. The Office of Research reviews proposals for centers, institutes, or core facilities and evaluates existing centers, institutes, and core facilities. The Office of Research may establish review team(s) to assist in the review of existing centers, institutes, and core facilities. The Office of Research consults, as appropriate, with relevant university units regarding funding and budgetary issues associated with establishing or disestablishing a center, institute, and core facility

are addressed.

5.3. The Research Council provides recommendations to the Dean of Graduate Studies and Research on the establishment of new institutes, centers, and core facilities.

6. Procedures and Proposals to Create Centers, Institutes, and Core Facilities

6.1. Individuals seeking to create a new center, institute, or core facility must submit a formal written proposal to the Dean for the School of Graduate Studies and Research and the Deans of any colleges whose faculty are participating in the proposal. The majority of funding for Centers and Institutes is expected to be from recovered indirect costs. Core facilities are generally expected to be self-supporting. The proposal must include the following information:

- a. The proposed name of the new center, institute, or core facility;
- b. A mission statement and strategic plan, including a description of how the new center, institute, or core facility's strategic plan aligns with the plans of any participating colleges or departments;
- c. A list of principal faculty members involved, including the director and participating researchers;
- d. A short summary of the center, institute, or core facility's preliminary research agenda or function, including brief initial project descriptions, if available;
- e. A description of the center, institute, or core facility's organizational structure;
- f. A description of the center, institute, or core facility's initial and potential external funding sources;
- g. A 5-year financial plan addressing all revenue sources and matching requirements;
- h. A financial model for returned overhead;
- i. A detailed description of the funds requested and a summary of the internal sources of support; and,
- j. Identified or proposed space.
- k. Acknowledgment that Centers, Institutes, or Core Facilities cannot serve as homes for tenure

6.2. **Special Procedures for Federal Awards.** If a center, institute, or core facility is to be created in response to federal research solicitations or program announcements, the proposal submitted to the federal agency must be submitted to the Dean for the School of Graduate Studies and Research and the relevant Dean(s) when it is filed with the funding agency. Internal review by the Research Council will occur simultaneously with the federal agency review. If federal funds are awarded, the Dean for the School of Graduate Studies and Research

shall create the center, institute, or core facility if Central Administration funds are committed. The Dean(s) shall create the center or institute if college funds are committed.

7. Establishment of University Research Centers, Institutes, and Core Facilities

7.1. Following review by the Office of Research, the proposal will be submitted to the Research Council for review and comment. The Research Council will review the proposal and make recommendations based upon the information provided in the proposal of the following criteria

- a. Clarity of mission
- b. Alignment of strategic plan with the UMES strategic plan and the plans of schools whose faculty are participating
- c. Level of faculty engagement
- d. Soundness of the proposed research agenda
- e. Sustainability of organizational structure and financial plan

7.2. The Research Council shall advise the Dean of Graduate Studies and Research and the relevant Dean(s) whether the new center, institute, or core facility should be formed.

8. Review Process

8.1. All centers, institutes, and core facilities shall be reviewed periodically, or at any time requested by the center or institute's advisory board, the Dean for the School of Graduate Studies and Research, or the Provost and Vice President, using the review procedures established by the Office of Research.

8.2. If a center, institute, or core facility is subject to a formal external review by a funding agency, no separate university review shall be required if the external review addresses the elements required in by the Office of Research. A copy of the funding agency's review shall be provided to the Office of Research.

8.3. Following completion of the review and the recommendations of the review team and Approval Authority, the Dean for Graduate Studies and Research, after consultation with the Provost and appropriate Deans, may take any number of actions, which may include, but are not limited to: renaming the center, institute, or core facility to reflect its functions; changing reporting lines; disestablishing the center, institute, or core facility; or consolidating or reorganizing the center, institute, or core facility.

9. Disestablishment or Change in Reporting

9.1. Centers, Institutes and Core Facilities may be terminated at any time by the Approval Authority, in consultation with the Unit Head, for violation(s) of USM or University policy, federal regulations, or state or federal law.

- 9.2. Centers, Institutes, and Core Facilities may be terminated at any time by the Unit Head due to inactivity, lack of funding, or lack of interest by the faculty to sustain the entity's activities.
- 9.3. Disestablishment may also be initiated by the faculty within the Center, Institute, or Core Facility when faculty support for the entity no longer exists, if there is no interest among the faculty in participating in or leading the entity, or when the entity is no longer financially viable. Requests for disestablishment may be submitted to the Unit Head for consideration, in consultation with the Dean for the School of Graduate Studies and Research, and Provost and Vice President.
- 9.4. If a center, institute, or core facility was created by a federal, state or private program designating the organization as a center, institute, or core facility, the center, institute, or core facility will be automatically disestablished at the completion of the funded program. If the faculty participating in the funded center, institute, or core facility wish to continue the center, institute, or core facility, prior to the termination of funding they shall submit a proposal as described in Section 6.
- 9.5. If a center, institute, or core facility no longer involves faculty and support from multiple schools or no longer receives administrative support, it will be shifted to report to an individual school. Conversely, if a center, institute, or core facility which has reported solely to one school has grown to engage a significant number of faculty from other schools, its reporting shall be shifted to the Office of Research. Any changes in reporting will be made by the Dean for Graduate Studies and Research, after consultation with the Provost and Vice President.

Website: www.umes.edu/osrp

Contacts: Dr. LaKeisha L. Harris

Dean for Graduate Studies and Research
410-651-7966

Current Centers:

1890 Center of Excellence for Global Food Security and Defense (CEGFSD)

<https://wwwcp.umes.edu/sans/ncoe/cegfds/>

NOAA Living Marine Resources Cooperative Science Center

<https://wwwcp.umes.edu/sans/ncoe/>

Center for Food Safety, Science and Technology

<https://wwwcp.umes.edu/sans/aes/cfst/>

Center for Agribusiness and Economic Development

<https://wwwcp.umes.edu/sans/aes/caed/>

Center for Obesity Prevention

<https://wwwcp.umes.edu/sans/aes/cop/>

Chesapeake Water Quality Center

<https://wwwcp.umes.edu/sans/aes/cwqc/>

International Center for Personal Protective Equipment for Pesticide Operators and Reentry Workers

<https://wwwcp.umes.edu/sans/aes/icppe/>

Center for Integrated Pest Management

<https://wwwcp.umes.edu/sans/aes/cipm/>