<u>University of Connecticut</u>
Academic Centers and Institutes Best-Practices Guidelines
FINAL – Approved by Provost Mun Choi June 2016

Table of Contents

		Page #
I.	Preamble	3
II.	Introduction	3-4
III.	**Establishing and Maintaining Academic Centers and Institutes**	4-15
	a. Definitions	4-5
	b. Needs Assessment	6
	c. Mission, Vision and Goals	6
	d. Alignment with the Academic Plan	6-7
	e. Governance and Membership	7-8
	f. Duties and Responsibilities of Core and Affiliated Faculty	8
	g. Organizational Chart, Reporting Lines	9
	h. Advisory Structure	9
	i. Letters of support for Forming a New Center or Institute	10
	j. Metrics for Assessing Effectiveness/Success	10
	k. Undergraduate and Graduate Teaching	10
	l. Mentoring and training Post-doc's, Interns and Fellows	11
	m. Budget, Extramural Support and Financial Model	11-12
	n. Staffing	12
	o. Memoranda of Understanding (MOUs) with Deans/Department Heads for Jointly-Appointed Faculty Members	12-13
	p. Annual Reporting and Cataloging of Accomplishments	13
	q. Communications/External Outreach and Public Relations	13-14
	➢ Visibility and Promotion	
	➢ Websites, ListServs and/or Newsletters	
	➢ Social Media	
	➢ Press Releases and Media Engagement	
	➢ Outreach Events, Conferences and Workshops	
	r. Interfacing with other University functions: Outreach/Engagement, Diversity, Global Affairs	14-15
IV.	Provost level review (5-year cycle)	16-19
	a. Criteria for Establishing a New Center or Institute	16-17
	b. Procedure for Establishing a New Academic Center/Institute	17
	c. Review of Centers and Institutes	18
	d. The Review Process	18-19
	e. Dissolution of Centers and Institutes	19
V.	Appendices	20-39
	A. List of 16 Peer and Aspirant University Centers and Institutes	20
	B. Potential Metrics for Evaluating Centers and Institutes. Centers and Institutes should define metrics most appropriate to evaluate their progress.	21-22

C. Tips for Organizing Conferences and Workshops 23-24
D. Considerations for Websites, Listervs, and Newsletter 25
E. Memorandum of Understanding Between the Department of [XXX] and the Center/Institute for [XXX] Regarding Jointly Appointed Faculty 26-29
F. Faculty Mentoring Plan 30-37
G. UConn Centers & Institutes 38-39

I. <u>Preamble</u>

This report was prepared by the 'Centers and Institutes Re-visioning Committee' during the fall semester, 2015, in response to a recommendation within the UConn Academic Plan (adopted by the institution and approved by the BOT in April, 2014). This *ad hoc* committee comprised the following individuals: Mark Aindow, Mark Boyer, Deborah Cornman, Kathy Libal, Amy Mobley, Rebecca Puhl, Lawrence Silbart, John Volin, Michelle Williams and Michael Willig (Brandon Murray and Courtney Wiley – *ex officio*). This document is to be used by groups of faculty who are ready to embark on forming a Center or Institute, by administrators at many levels, by current C/I directors, and by the Centers and Institutes Review Committee. It is not intended to proscribe or direct Centers and Institutes on how to operate, but rather to guide their evolution based on the experiences of others, both within and outside of UConn. The document was prepared after scanning the policies and procedures in guidance documents of approximately 16 Centers and Institutes at peer and aspirant institutions (Appendix A). This document is meant to be a "living" document that is updated as needed by the Centers and Institutes Review Committee. In that regard, if upon review, deficiencies in C/Is are identified by the review committee, it may recommend that a particular C/I consult this document for guidance. Over time the committee felt that many existing C/Is could improve their current practices and evolve by adopting some of the recommendations found herein.

II. <u>Introduction</u>

Centers and Institutes (C/Is) are critical to the mission and vibrancy of the University by virtue of addressing challenging problems and exploring new and exciting opportunities. They embrace the University's interdisciplinary culture by connecting faculty through mutual and complementary interests that typically transcend departmental or disciplinary boundaries. Whenever possible, C/Is should complement and strengthen disciplinary programs by providing interdisciplinary course work or certificate programs, offering service-learning opportunities, research training, or facilitating high level, "value added," research productivity. Moreover, C/Is play a critical role in training and educating the next generation of innovators and scholars. Ultimately, they advance knowledge that leads to important discoveries and informs policy decisions, thereby addressing society's most pressing needs.

Centers and Institutes are flexible units by design, and hence their scope, mission, lifespan and size are highly variable. They must further the University's educational, research, and public service missions in ways that cannot be addressed through existing departments, schools, and colleges, and must not duplicate the efforts of other units. Their vitality stems in part from their organic nature, forming as an outgrowth of the creativity and vision of small groups of faculty in response to societal needs or unique opportunities. They play an important role for the University in terms of outreach or engagement, contributing to the University's visibility through interactions with local communities, state and local stakeholders, regulatory authorities, private industries, other universities, federal funding agencies and national laboratories. In this regard, University-sanctioned C/Is bear a special obligation to represent the University in its best possible light and in a manner consistent with the institution's academic mission and By-Laws.

The success of C/Is hinges on many factors and is more difficult to assess in comparison to the formulaic approaches used to evaluate departments, schools and colleges. For this reason, it is critically important to properly structure C/Is at the outset to best position them for success. Although C/Is operate semi-autonomously, they must clearly articulate their goals, objectives and structure to ensure their success; this includes issues of funding, governance, reporting lines, joint or primary faculty appointments, overlap with other entities, appropriate recognition of its members' efforts through promotion, tenure, and reappointment (PTR), staffing, reliance on departmental infrastructure, and many others. The 'best practices' outlined in this document will guide nascent Center and Institute directors as they begin creating a new entity. It also outlines criteria by which C/Is will be evaluated, and describes the circumstances that precipitate recommendations for closure. In preparing this document, the Centers and Institutes Re-visioning Committee evaluated the structure of nearly twenty other universities' policies and procedures, including peer and aspirant institutions. This document summarizes the 'best practices' distilled from this analysis, as complemented by in-depth discussions. It is framed in the context of the organizational and governance structure at UConn. We welcome other educational institutions to borrow liberally from this document (with appropriate attribution).

III. Establishing and Maintaining Academic Centers and Institutes

a. Definition of a Center/Institute

The University recognizes three different types of Centers and Institutes, as follows: 'Academic Support Centers and Institutes' such as the Institute for Teaching and Learning; 'Cultural Centers' such as the Women's Center; and 'Academic Centers and Institutes', the latter of which is covered herein. For the purposes of this document, all references to C/Is refer to Academic C/Is unless specifically stated otherwise.

In many instances, C/Is evolve from small groups of faculty working on a defined problem or in response to a particular funding opportunity. These groups often go by several names such as 'workgroups', 'consortia', 'initiatives', 'co-laboratories' etc., which are not officially recognized by the University. Such groups are strongly encouraged to apply for C/I status through the process described in Section V of this document if they wish to be officially recognized both internally (e.g. via a link on the Provost's webpage) and externally via webpages and other forms of external visibility. If in doubt, a conversation with the Provost's Office is highly encouraged to discuss current status and trajectory. Similarly, if a Center wishes to evolve into an Institute (or *vice versa*), communication with

Provost's Office is encouraged. If a Center or Institute has been mis-named due to historical practices or as a requirement for receiving funding, the Provost's Office can help guide the director on how best to proceed.

"*Centers* provide a mechanism for faculty and staff to collaborate to develop depth in a defined range of problems within a discipline, or apply a broader vision to issues that cross traditional departmental *and/or disciplinary* structures. A Center may provide a useful structure to develop emerging or multidisciplinary approaches to research or teaching, provide a relevant focus for service to external or internal constituencies, promote sharing of resources (e.g. equipment or laboratories), or otherwise support the focused scholarship of groups of faculty and staff in their areas of specialty."[1]
Centers can be formed or established as a consequence of external funding (e.g., federal grant, industry partnership), in response to institutional needs (academic resource for students or faculty) or state-wide initiatives (training or diagnostic resource), or as a result of interactions among interested groups of faculty members with shared interests, expertise, or focused mission to address particular problems, research questions, or scholarly activities. Centers can range in scope, areas of focus, organizational structure, funding models, and review procedures. Centers may be established for a specific purpose, may have a finite lifetime, may expand into broader structures over time, such as an Institute, or narrow to a more disciplinary focus, such as a program.

An *Institute* is a unit that ordinarily is larger than a center, and has a broader mission and a more complex interdisciplinary focus. It is expected that most institutes would involve faculty from multiple departments and schools or colleges. Although the mission of centers can differ with regard to service, research, outreach, academic, scholarly, support, the mission of institutes often encompasses the development of academic programs including undergraduate majors or minors and graduate degrees or certificates. Institutes may also have faculty lines that are jointly appointed with a departmental home and provide academic programming and degree programs. As a result, Institutes often have a more department-like structure with dedicated staff, space, and administrative support. They must develop policies and procedures for instructional delivery including courses and curriculum committees, academic advising, and will participate much more heavily in merit and PTR processes for jointly-appointed faculty. Institutes are not required to offer academic programs, but may evolve from Centers when they outgrow their original mission. In some cases, the newly formed Institute may subsume other Centers, while in other cases it may serve to simply interconnect and coordinate the efforts of more autonomous Centers, offering services that independent Centers might not otherwise receive.

[1] See University of Wisconsin-Madison "Review Guidelines for VCRGE Centers": https://research.wisc.edu/review-guidelines-vcrge-centers/

b. <u>Needs Assessment</u>

The directors and core faculty members of a proposed C/I should conduct an initial needs assessment of related interdisciplinary activities (research, teaching, outreach etc.) already in place at the Storrs campus, UConn Health, the Law School, the School of Social Work and the regional campuses to identify potential gaps and ensure that the C/I does not duplicate elements of existing programs, but instead leverages, integrates, and complements these activities. A separate analysis of similar centers within the region (New England) and at peer or aspirant institutions should also be conducted to help focus the new C/Is on unique areas of strength (niches) and to help identify potential external advisory committee members. Benchmarking the proposed C/I to similar entities elsewhere, if applicable, provides a mechanism for assessing the quality of a C/I's programs and accomplishments via standard metrics. The objectives of benchmarking are to (1) determine if and what improvements or refinements many be necessary to enhance academic excellence, (2) consider how other organizations achieve high performance levels, and (3) use this information to improve performance of UConn's C/Is.

Two to three peer or aspirant institutions should be identified along with the criteria used as a basis for their selection. Benchmarking will also help indentify any unique aspects of the UConn C/I that deserve special consideration.

c. <u>Mission, Vision, Objectives and Goals</u>

A Center or Institute should define its academic domain and evolution via clear statements of mission, vision, goals, and objectives. This information will be used during the initial C/I approval process and during 5-year reviews. It may also be useful to post these materials to the C/I website to guide others including potential partners and affiliated faculty members.

The *Vision* provides a mental image of the future as affected by the C/I, including a direction and focus to which participants can align their interests and expertise. The *Mission* states the academic reason for the C/I's existence, but does not define an outcome, time limit, or measurements of accomplishment. As appropriate, it should include statements about research, education (graduate and undergraduate), outreach, in-reach or service. The *Goals* of the C/I describe ideal states to be achieved at some unidentified future time. The goals should guide everyday decisions and actions, but do not necessarily deal with measurable results. The *Objectives* of the C/I should focus on critical organizational issues and milestones by (1) describing activities to be accomplished to achieve goals; (2) providing a timeline that indicates when particular results are to be accomplished; (3) providing measurable outcomes in terms of whether or not they are achieved; and (4) may evolve as necessary for progress towards goals.

d. <u>Alignment with the Academic Plan</u>

Centers and Institutes must stay 'relevant' both in terms of addressing external needs and opportunities – but also internally with respect to their relationships with Schools, Colleges and Departments as well as with other C/Is. In this regard, C/I directors and core faculty members should be actively involved in strategic planning efforts at all levels within the University. Involvement and integration of C/Is should be incorporated into Schools, Colleges, and Departments plans as appropriate, and should be consistent with the goals of the Academic Plan.

e. Governance and Membership

Governance: The director of a C/I is generally appointed by the administrator to whom the C/I reports (see Organizational Chart) for a fixed duration. In some instances, a search committee may be appointed to solicit applications at a national or international level. The appointment letter should delineate expectations and articulate a process for review (timelines, milestones, goals, and metrics). The director may in turn appoint assistant or associate directors as needed (in consultation with the appropriate Dean, Department Head or VP). The director, in collaboration with the C/I's governance team, is responsible for further defining the roles and responsibilities of its members, as well as procedures for changes in status. Most C/I's divide their faculty membership into two general categories (e.g. "Core" vs. "Affiliated") based on anticipated levels of responsibility and activity. Some C/Is may wish to add a third category of 'Participating' members that may include individuals from other institutions, the local community and so forth. The responsibilities and expectations for faculty members in each category should be clearly articulated in a letter of appointment that is shared with the faculty member and his or her immediate supervisor. Most C/I's do not create By-Laws, however meetings should follow traditional procedures, including the keeping of minutes and the recording of 'action items'. The director, in collaboration with the C/I's governance team should also define a procedure/process for how members may transition from one category of membership to another, and the conditions upon which a faculty member may become unaffiliated (usually due to inactivity or lack of participation).

Membership: Typically, Core and Affiliated members of a nascent C/I are defined when the C/I is first proposed. Affiliate members' participation is almost always voluntary and is sought in consultation with their immediate supervisor (e.g. Department Head or Dean). Additional faculty may be added through a self-nomination process, or by a nomination from a current member of the C/I. Nominations are submitted to the director of the C/I, and should include: a) a description (1-page) of the candidate's connection to the main research, teaching or outreach area(s) of the C/I, as appropriate. This description should highlight relevant accomplishments or projects and include a statement of how the candidate anticipates his or her affiliation with the C/I will be useful to the candidate and the C/I, b) a current CV, and c) a link to the candidate's professional website. For Core faculty members, the nomination should also include a statement (letter or email) from the faculty member's immediate supervisor indicating his/her support for the faculty member's inclusion in the C/I, especially in instances where the faculty member is pre-tenure. Each C/I is free to adopt its own guidelines for membership at different levels, and to define these levels as they see fit.

Affiliate status will be granted upon approval by the C/I director in consultation with the

C/I's governance team, which will also define the term length (typically three years). As the term approaches its expiration, Affiliated faculty members may be invited to renew their affiliation by submitting a short description (no more than one page) of their ongoing C/I-relevant research, teaching, or outreach activities, and a brief account of their active involvement with C/I activities over the previous period of affiliation. A roster of active members should be updated at least annually and maintained on the C/I website.[2]

f. Duties and Responsibilities of "Core" and "Affiliated" Members

Each C/I is encouraged to define a procedure for nomination of new members, and articulate the level of responsibility and activity expected for members at each level. The nominated faculty member, in consultation with his or her immediate supervisor, should explicitly accept these duties and responsibilities upon joining the C/I (as part of the nomination process): Among the roles and responsibilities that may be considered at each level are:

Core faculty:

- Participate in the leadership and governance of the C/I
- Participate in the day-to-day activities of the C/I including; the development of conferences or workshops, maintenance of websites, organization of meetings, and preparation of newsletters and all other aspects of C /I operations.
- Lead strategic planning to set the vision, mission and goals of the C/I
- Oversee or coordinate C/I's internal policies and managerial, financial, and administrative systems
- Participate in preparing the C/I's annual reports as well as the self-study that is required as part of the 5-year review
- Represent the C/I externally to funders, the press, and at scholarly conferences, meetings or workshops
- Conduct collaborative research that aligns directly with C/I's mission
- Engage in outreach activities that align directly with C/I's mission
- Identify and pursue opportunities for multi-disciplinary collaboration within UConn
- Seek external funding sources or opportunities for the C/I
- Establish partnerships with organizations outside of UConn (government, community organizations, professional associations, etc.)

Affiliated faculty:

- Attend and participate in C/I hosted activities (e.g., annual meetings, conferences colloquia, science cafes, etc.)
- Participate in collaborative research, instructional activities or outreach events with C/I faculty
- Contribute relevant information for C/I communications such as newsletters, listservs, the C/I's website and annual/5-year reports

[2] The above language was adapted and modified from relevant policies at the Center for Poverty Research at the University of California, Davis: http://poverty.ucdavis.edu/post/seeking-affiliate-status

g. Organizational Chart, Reporting Lines

Organizational Chart: Each nascent C/I should prepare an organizational chart showing the relationships pertinent to the C/Is operations and governance (e.g. Director, Advisory Committee(s), governance structure, Core and Affiliated members and cooperating units (including other C/I, Departments). Although all C/Is should have some form of advisory structure, its nature and extent may vary (as discussed below).

Reporting Lines**:** When C/Is are first formed, they should propose clear reporting lines to the appropriate Deans, Department Heads or upper administration. In general, these lines are related to the C/I's scope and the constituency of the director and core faculty. For example:

- C/Is with core faculty residing in a single department should report to the relevant Department Head.

- C/Is with core faculty that reside in multiple departments, all of which fall into a single school or college should report to the relevant Dean.

- C/I's with core faculty that span schools, colleges or campuses should report to the upper administration within either the Provost's Office (e.g. the relevant Vice Provost) or the Office of the Vice President of Research.

Annual Reporting and any operational or staffing issues that arise over the course of a year should also track through the same reporting structure.

h. Advisory Structure

Centers and Institutes are encouraged to establish an advisory committee that provides guidance to the C/I's director regarding how to maximize their success (in terms of research, extramural funding, outreach/engagement, teaching, etc.). For example, some Advisory Committees comprise subject matter experts from other institutions, policy makers, regulators, stakeholders, clinicians, community members or any other parties who can provide strategic advice and direction to the C/I leadership. C/Is are encouraged to clearly define their advisory committee's structure and primary role(s) according to the C/I's mission. This may include, but not be limited to: (1) providing guidance on the C/I's short- and long-term goals, specific outcomes and criteria that will be used to measure progress toward those goals, and strategies for accomplishing them, (2) reviewing the C/I's mission statement and goals annually for possible modifications, (3) reviewing progress towards C/I's goals throughout the year, (4) formulating research, teaching, and outreach agendas as wellas offering advice on executing them, and (5) providing recommendations on funding strategies, operational budget expenditures, or programmatic decisions. C/Is should also determine whether the committee will provide ongoing guidance, or be called upon for focused input when particualr issues. Advisory committees should meet at least annually, although some C/Is may define a different schedule due to travel expenses, scheduling issues and so forth.

i. <u>Letters of support for forming a new Center or Institute</u>

As part of the initial C/I approval process, letters of support should be obtained from all relevant departments, schools, colleges, or units, and from the University administrator with oversight responsibilities for the C/I, as shown on the Organizational Chart.[3] Support letters should clearly describe the context of the support ranging from general approval of the formation of the C/I to the commitment of funds, space, start-up funding or support personnel.

j. <u>Metrics for Assessing Effectiveness and Success</u>

Due to the diversity of C/Is in terms of mission, funding and reporting lines, metrics for assessing their success will differ substantially. For example, research-oriented C/Is will rely on traditional metrics such as collaborative grant proposals submitted or funded, publications, presentations, etc., while service or teaching oriented C/Is will have different metrics. Defining appropriate metrics by which a particular C/I should be reviewed and assessed must be done when a new C/I is first proposed, and then refined over time as it evolves. While all University-sanctioned C/Is are expected to contribute to the University's overall mission and provide "value added" projects and programs, it is important for each C/I to develop its own set of metrics, in consultation with advisory boards and reporting structure (Deans, Department Heads, VPs), to ensure prospective agreement regarding review and assessment criteria. This is particularly important for C/Is receiving institutional support. Each C/I should be given a wide range of discretion in defining these metrics, provided they have been appropriately vetted and agreed upon through C/I leadership, the administrator to whom the C/I reports and relevant advisory boards. These metrics should not be viewed in an overly rigid fashion as all C/Is need to have the freedom to evolve over time; however, these changes should be clearly communicated to all relevant parties mentioned above as well as with external stakeholders.

k. <u>Undergraduate and Graduate Teaching</u>

In general, faculty members with joint-appointments in C/Is will negotiate their undergraduate and graduate teaching assignments when first hired. Over time these assignments may evolve, but only upon mutual agreement of the C/I director and the relevant Department Head. In general, Center directors are strongly discouraged from developing independent academic programs and course sequences, but are encouraged to integrate such courses into the relevant Departments (governed by the Courses and Curriculum committees of those Departments). Institutes may, with the permission of the Provost and in consultation with relevant Deans, develop their own academic programs, course numbers, requirements, Courses and Curriculum committees, advising structure etc., in keeping with the University's academic standards and procedures.

[3] See The University of Georgia Policy on Centers and Insitutes: http://research.uga.edu/centers-institutes/uga-policy/

l. Mentoring and training Post-Doctoral associatates, Interns and Fellows

It is often worthwhile to involve post-doctoral fellows, visiting scholars, student interns and research fellows to work with the C/I's faculty, staff and students. As discussed in the "staffing" section (section III (n)), these positions must be carefully thought-out, with clear guidelines, inclusive dates, reporting lines and expectations (even if unpaid).

m. Budget, Extramural Support and Financial Model

The funding model and mechanisms of support for each C/I can differ, and no single model is preferred. A sustainable support model should be developed for each academic C/I at its inception, in keeping with the reporting lines shown on the Organizational Chart. Support may come from more centralized University funds, such as Deans or Department Heads, the Office of the Vice President for Research, or the Provost's Office in keeping with their respective missions. Support may be dedicated to faculty lines or academic programs, or may include external sources such as state-funded initiatives or extramural grants. Research intensive C/Is may develop a shared revenue model, with a mix of support at the University (e.g., Provost, VPR), the school or college (deans), department (heads) , and individual faculty (e.g., via IDC returns) levels, or with extramural grant support.

- In most cases, new C/Is must have a minimum of 3 years financial support in place at the outset, with commitments clearly identified. This commitment of support is especially important if the funding is expected to come from institutional sources. The minimum 3-year commitment of support may be conditional on the C/I meeting annual metrics or specific goals. For example, if funded by an external grant, each year of support may be contingent upon meeting the specific aims of the grant. Similarly, if funded by institutional dollars, support over the commitment period may be contingent on meeting annual metrics or goals (e.g., curriculum development, submission of external grants, external grant awards). The establishment of an MOU or commitment letter from each administrator offering support is critical to success and highly recommended.

- In cases where institutional support is committed to support a C/I, those commitments should be clearly defined (e.g., VPR, deans, department heads, PIs) and may be contingent on the availability of funds over the commitment period.

- Annual budgets and requests for funding will depend in part on the organizational structure of the C/I and reporting lines. For example, academic C/Is may need to submit an annual budget to respective dean(s) or the Provost's Office (e.g. the appropriate Vice Provosts), whereas research intensive C/Is may need to submit an annual budget to the sponsoring agency or institutional administrator (Provost, VPR, deans, etc.) based on the funding mechanism in place.

- Continued support of a C/I beyond the initial 3-year commitment should be based on metrics for evaluating the success of the C/I, gap funding if necessary, and transitional funding. For example, a C/I supported by an external grant may experience a budget cut by the sponsoring agency or may need some gap funding as new sources of support are sought. Similarly, some C/Is may need to transition from one funding model to another based on changes within the C/I, shifts in the interdisciplinary focus, or changes in faculty composition or expertise.

- C/I directors should consider all available funding options for supporting conferences, workshops, project seed-funding etc. and should be aware of opportunities through the OVPR (e.g. the REP program - https://research.uconn.edu/funding/research-excellence-program/announcement/) and others.

n. <u>Staffing</u>

Hiring staff to support C/I activities must be done with care and forethought, especially for smaller centers. C/I directors are reminded that offer letters, union agreements and HR/Labor Relations policies bind the University and its employees in specific ways that must be considered during the hiring process. For this reason, C/I directors are urged to plan accordingly, and as follows:

- When support staff are hired to perform particular duties within a C/I, their offer letter should contain explicit language regarding the fate of their position should the C/I be disbanded, especially when they are hired as a permanent employee. This is less relevant for "soft-money" and end-date positions, as their offer letters typically contain language regarding "the availability of funding" as a matter of course. Some consideration should also be given to how C/Is will handle budget cuts (with respect to staffing) and the awarding of merit or promotions. The offer letter should also be clear with respect to whom the employee reports and the nature of expectations regarding support of C/I (especially if the C/I is contributing monies to support the hiring of a split-coded employee with another unit).

- C/I directors are strongly encouraged to craft an MOU with relevant administrators regarding grants management, redistribution of IDC returns, or staff support for services (web maintenance/development, payroll, travel reimbursements, secretarial support, etc.).

o. <u>Memoranda of Understanding (MOUs) with Deans or Department Heads for faculty members with joint appointments</u>

C/I directors and relevant department heads or deans should draft a comprehensive Memorandum of Understanding (and agreement) that addresses the topics noted below. Ideally this document will be drafted when the position is first approved (or re-approved) or while the job description is being crafted, well in advance of hiring. If the MOU is fully executed at the time of hire it may be referenced in the offer letter. An MOU template (Appendix E) is provided to guide this process. This template may be modified to fit the specifics of an individual hire, but may not violate University policies or any union-negotiated contractual agreements (e.g. with regards to merit, PTR). The MOU should address the following:

H. Joint Faculty Appointment – general terms
I. Salary Distribution
J. Moving Expenses
K. Mentoring and Career Development
L. Tenure Home
M. Start-up, Space Allocation and Miscellaneous Expenses
N. Annual Review and Merit Awards
O. Teaching Duties
P. Departmental vs. C/I Support
Q. Service Expectations
R. Promotion, Tenure and Reappointment
S. Appeals

p. Annual Reporting and Cataloging of Accomplishments

Once approved, each C/I must prepare an annual report in a format that is acceptable to the administrator to whom the C/I reports. This report can be any length or format that is mutually acceptable to the C/I director and the responsible administrator, however it is highly recommended that the annual report follow the same form and format as the Provost level 5-year review self-study, so that compiling the data will not be an arduous task. Maintaining a running list of accomplishments (e.g. funded grant proposals, publications, presentations, outreach events etc.) will make updates to the webpage and preparation of annual reports much simpler.

q. Communication/External Outreach and Public Relations

Visibility and Promotion: Each C/I should promote visibility both within and outside of the University, and in ways that are directly relevant to the C/I's mission. For example, if the C/I's mission focuses on advancing knowledge in a particular area, then visibility of scholarship in that particular field of study is important. If the C/I's mission is to influence policy, then promoting visibility of the C/I's work to policy makers or through media coverage may be more relevant. If the C/I's mission is focused on changing medical practices, visibility to medical associations is important. The C/I should regularly engage in efforts to promote visibility with a clear vision of the target audiences or groups to reach and strategies for accomplishing this. University Communications is available to consult with C/Is on strategic marketing and planning, for more information please visit http://communications.uconn.edu/strategic/.

Websites, Listservs or Newsletters: As noted previously, C/Is collectively provide an outward 'face' to the university, and thus must be maintained in an accurate, attractive and up-to-date fashion. It is critically important that C/Is develop websites that adhere to university guidelines for web standards. The site should highlight upcoming events, major accomplishments and biographical information about the C/I's leadership and all Core faculty memberes. A listing of Affiliated faculty members should also be posted. Biographical information should be updated at least annually. Further recommendations for developing and maintaining a C/I website are provided in Appendix D.

Social Media: C/Is are encouraged to use social media to publicize their work, share important events, stay connected with key stakeholders, and promote the UConn brand. Social media platforms should be used with care and updated regularly with meaningful content. Establishing these accounts should be done after careful consideration of the C/I's goals, target audiences, ability to produce meaningful content, and staff resources. It should also be done collaboratively with University Communications and must abide by the University's brand and social media standards. Each C/I director needs to weigh the risks and benefits of interacting through these media as they can consume a great deal of time, and frequent users of these outlets expect almost immediate responses. Faculty and staff should be cognizant that they represent the University through these accounts and must maintain a high level of professionalism despite the informal and 'chatty' nature of the medium. [4]

Press Releases and Media Engagement: C/Is are frequently engaged by news organizations as subject matter experts, especially for policy and scientific issues that periodically become newsworthy, often on very short notice. C/I directors are encouraged to engage the media as appropriate, and to highlight important research or capabilities within the University. Media contacts may come either directly or indirectly from colleagues or University Communications. Before engaging the news media, all interested faculty and staff should receive media training and comply with University guidelines and policies. As a general rule, it is always a good idea to know who you are talking to (make sure it is a reputable news organization) and think through how to handle questions in advance. Answer questions with complete and accurate information, avoiding jargon whenever possible. Do not 'dumb-down' topics or discussions, but conversely, do not give lofty answers that could not be understood by an intelligent member of the public. Do not offer opinions that cannot be substantiated by factual information, and make it clear that you are offering your professional opinion, not as a spokesperson for the University, but as an expert in the field. If you are asked about the University's official position on a partiucar topic, please refer the question to the University Spokesperson (currently Stephanie Rietz) . All press releases should be approved in advance and coordinated through University Communications.[5]

Outreach Events, Conferences and Workshops: For C/Is whose mission encompasses outreach events such as conferences or workshops, C/I directors are encourage to form a Conference/Workshop committee, and to begin the planning process early; it is not unusual to begin planning conferences 18-24 months in advance. Each event should be widely publicized, in keeping with the 'Visibility and Promotion' guidelines detailed elsewhere (Section III (j)). Appendix C contains a number of helpful hints to guide first time conference/workshop organizers through various steps in the process.

[4] For more information, please see the University Guidelines for social media: http://brand.uconn.edu/standards/social-media/university-guidelines/

[5] University Communications offers Media Training for faculty and staff, please contact Kristen Cole (Kristen.cole@uconn.edu) or visit http://communications.uconn.edu/wp-content/uploads/2015/04/Media-Training.pdf.

r. **Interfacing with other University Functions:** Outreach, Engagement, Diversity, and Global Affairs

UConn Diversity and Inclusion: The 2014 Academic Plan identifies diversity as one of four institutional core values, along with innovation, leadership and global engagement. C/Is should consider how their missions advance the University's mission and vision of "understanding and solving the most significant societal problems and approach our mission with a commitment to excellence, ethical action, and inclusiveness." C/Is should endeavor to follow key recommendations of the 2015 Diversity Task Force Report, including to enhance recruitment and retention efforts of faculty and staff from historically underrepresented groups; to track diversity data and information in an effort to contribute to a university-wide transparent system of monitoring, evaluation, and accountability; to expand multi-cultural curricula and programming as relevant to the Center or Institute,; and to contribute to efforts to expand diversity fundraising through C/I initiatives. C/Is should collaborate with the new Diversity Office and Diversity Council to advance these goals.

Public Engagement and Outreach: Engagement, in all its forms of scholarship, service and outreach, enables UConn to fulfill its land grant heritage and its mission of "…and engaged citizenship in our students, faculty, staff, and alumni. As our state's flagship public University, and as a land and sea grant institution, we promote the health and well-being of citizens by enhancing the social, economic, cultural, and natural environments of the state and beyond". All engagement activities must be achieved collaboratively with our communities as integral partners following principles of reciprocity, relevance and responsibility. To the extent possible, C/I directors interested in embarking on efforts to actively engage students, communities or the public at large in service learning, outreach events or activities, engaged scholarship, or grant proposals should first consult with the Office of Public Engagement (http://engagement.uconn.edu/). C/I directors are reminded that any research involving human subjects must be approval by the Institutional Review Board (http://research.uconn.edu/irb/). Such approvals extend to non-invasive research including some surveys, so it is extremely important that C/I directors and PIs understand all institutional requirements in this regard.

Global Affairs: C/I directors whose activities extend to other countries should consult with Global Affairs, as appropriate. UConn has many Institutes and initiatives that work collaboratively with Global Affairs (http://global.uconn.edu/academic-institutes-initiatives), and additional collaborations are welcome. International partnership agreements should be initiated through Global Partnerships (http://globalpartnerships.uconn.edu/partnerships/propose-partnership-internal), while student exchanges and faculty-led programs must be proposed through Education Abroad (http://abroad.uconn.edu/faculty-advisors/proposing-new-programs) prior to agreement initiation. C/I directors are reminded that in July 2015, the University adopted two distinct policies addressing international travel for university-sponsored or university-related purposes (http://global.uconn.edu/travel-immigration/international-travel-information). These policies require 1) registration of all student travel; and 2) registration and approval for faculty/student/staff travel to Countries with a U.S. Department of State Travel Warning/Alert .

IV. Provost Level Review

The Provost (or his designee) oversees all aspects of C/I approvals, including their establishment, operation, review and dissolution. The University By-Laws mandate that all C/Is be reviewed every five years, with the results reported to the Board of Trustees as an information item. The sections appearing below are posted on the Provost's website, but may change over time. C/I directors are reminded to check the Provost's website for the most up-to-date version.

a. Criteria for Establishing a New Center or Institute

The establishment of a new C/I requires careful deliberation that includes an evaluation and justification of need and the potential for making a meaningful contribution. The following issues are relevant to these deliberations during the planning process:

- The C/I should not duplicate activities already being performed elsewhere at the University.
- The activities of the C/I should ordinarily involve individuals from more than one discipline.
- The C/I director must be a tenured faculty member.
- The C/I must have at least four faculty members (including the director) associated with it (three of whom must be tenured or in tenure-track appointments).

The proposal for establishing a new C/I should provide information regarding the following (using the template at the end of this document):

- *Name of C/I*: This name should describe as best as possible the unique function(s) of the C/I, and should not overlap or be similar to the name of an existing unit.
- *Director*: The name and contact information of the tenured faculty member who will provide leadership to the C/I, and a brief description of his or her qualifications.
- *Mission and Vision*: The mission and vision statements should clearly describe the purpose for establishing the C/I, and explain how this mission is unique and distinct from that of other units.
- *Goals and Objectives*: What does the Center/ C/I expect to accomplish? The outcomes should be clear and their impact should be measurable. Clearly justify how the C/I will enhance scholarship and thereby contribute to the reputation of the University.
- *Metric for assessing success*: As each C/I's mission is unique, the metrics for measuring success may differ accordingly (see section III (j)). Clearly articulate the specific metrics by which the C/I's success should be judged. Topics listed in Appendix B may be used as a guide.
- *Budget*: Provide details of the amount and sources of funds required for the operation of the C/I. Are all the necessary funds available? If the funds are not already available, explain and justify the source of additional funds that will be required to operate the proposed C/I. Clearly delineate the resources that will be necessary for the sustainability of the C/I, and the plans for obtaining them. In general, at least 3 years of funding commitments should be in place, along with a plan for long-term sustainability.

- *Faculty and Staff*: Provide a listing of all staff (do not include faculty members) that will be associated with the C/I. Include their titles and a brief listing of their responsibilities. A draft MOU with a home department should be included if individuals will have shared responsibilities. If faculty lines are associated with a C/I, a draft MOU describing each individuals' responsibilities is required, along with departmental approval.
- *Space*: What are the space needs of the C/I? Is this space available? If not, what are the plans for identifying appropriate space? A written commitment for space allocation is required for those C/Is that require space normally assigned to an academic unit.
- *Organizational Chart*: Provide an organizational chart. As a part of this, confirm that all affected units (departments, schools or colleges) are familiar with the plans for establishing the C/I and supportive of the proposal. Letters of support from these units are the appropriate means of conveying such information. The organizational chart should also define to whom the C/I reports (along with a letter of support).
- *Core and Affiliated Faculty Members*: Define the level of activity and expectations for Core and Affiliated Faculty members (see Section III (f)). Provide a list of all faculty members who have confirmed their interest and commitment to actively participate in the initiatives of the C/I. For each individual, identify his/her rank, departmental and school affiliation, and expected contribution to the C/I. Core faculty members should have written approval from their immediate supervisor indicating support for his or her faculty member's involvement in the C/I stitute.

Each C/I will submit an Annual Report that documents scholarly accomplishments and productivity, including funding obtained during the year, and any changes in the faculty membership. The report should be submitted to the Department Head(s) and Dean(s) of the participating department(s) and school(s) or college(s).

b. Procedure for Establishing a New Academic Center or Institute

The establishment of a new C/I requires adherence to the following procedures:

- Given that all faculty members have a departmental home, individual(s) interested in establishing a C/I should first discuss their plans with their Department Head or Dean. It is important that the Hepartment Head and Dean support the proposal.
- The individual(s) should complete the Academic Center/Institute Approval documentation. See criteria discussed in Section IV(a) above.
- The C/I director should forward the completed document to the Dean of the proposing school or college for approval. Where multiple schools or colleges are involved, all of the Deans of these schools or colleges must support the establishment of the C/I. Letter(s) of support from the Dean(s) of the collaborating school(s) or college(s) should be submitted as a part of the proposal.
- Once approved by appropriate Deans, the document should be forwarded to the Provost for approval. The Provost, in consultation with the Centers and Institutes Review Committee, will request modifications, approve or deny the creation of the Center/Institute. The Provost will inform the Board of Trustees of newly approved C/Is.

c. Review of Academic Centers and Institutes

The By-Laws of the University (Article XIII) require that "All centers and institutes will be reviewed on a five-year cycle to determine their continued contribution to the University's mission." The criteria used for evaluating academic centers/institutes will include the following (from the time the unit was approved or last reviewed):

- A copy of the C/I Approval documentation.

- The effectiveness of the C/I in meeting the goals that were stated in the approval documentation. This statement should include a citation and evaluation of the scholarly products in keeping with the ‘metrics for assessing the success of the C/I (see Section III (j); e.g. publications, patents, works of creative art, and other outcomes).

- The ways in which the C/I has enhanced the scholarly reputation of the University. This should include a listing of conferences or workshops hosted on or off campus; keynote addresses and invited presentations at state, regional or national meetings, service on federal panels, honors and awards, visibility both within and outside of UConn, and other significant contributions made by the members of the center/institute.

- The extent of external funding (from state, federal, private or philanthropic donations, or other sources) obtained by the C/I since it was last approved or reviewed. Funding should include both direct support and indirect cost recovery (if applicable).

- A listing of all visiting scholars, fellows, graduate students and post-doctoral associates who have worked at the C/I, along with other contributions to the academic mission of the University (including contributions to interdisciplinary courses).

- Other contributions relevant to the mission of the C/I.

d. The Review Process

The Academic Center and Institute Review Committee - The Academic Center and Institute Review Committee will consist of six or more faculty members who will be selected by the Provost. The Vice Provost for Interdisciplinary Affairs will serve as an ad *hoc* member of the Committee and his or her office will be responsible for the logistics of the reviews. Members serve a three-year term, but may be renewed upon mutual consent.

<u>Timelines and Process</u>: The Vice Provost for Interdisciplinary Affairs will develop a schedule identifying the semester in which each C/I will be reviewed. Each C/I will be informed at least three months in advance of the due date for the self-study. The review process will include a number of activities.

- The C/I will prepare a self-study that addresses the topics in Section IV(c).

- The self-study will be provided to the review committee at least one month prior to the date of the formal review.

- The C/I director will have an opportunity to meet with the Committee. There will be no external reviewers invited to evaluate the C/I. However, the Committee reserves the rights to obtain feedback from external sources if it deems necessary.

- After evaluating the self-study document and any external input, the Committee will make its recommendation to the Provost. This recommendation will include an overview of the strengths and weaknesses of the C/I. The recommendations will be one of the following:
  - Approve for another five-year term
  - Approve with conditions. In this situation any deficiencies must be rectified in the prescribed time period or else the C/I may be dissolved (see Section IV(e))
  - Merge with another C/I that has a similar mission
  - Dissolution (see section IV(e)).

The Provost will communicate his or her decision to the appropriate Dean(s), Department Heads(s) and Center/Institute director as well as to the BOT (as an information item).

e. <u>Dissolution of a Center or Institute</u>

Following a recommendation by the Review Committee, the Provost will authorize the dissolution of a center/institute if it meets any of the following criteria:

- it is no longer making sufficient contributions in terms of scholarly activity
- it fails to demonstrate meaningful contributions to the academic mission
- it no longer has faculty support
- it is no longer financially viable
- it has not adequately addressed concerns brought forward from its most recent review
- it does not submit a self-study in a timely manner

At any point in time a C/I has the option of disbanding, reorganizing under a different name, merging with another C/I, or pursuing a different set of goals and objectives, depending on the circumstances. Proposed changes of this magnitude should be discussed and agreed on in advance of notifying the Provost's office. In such cases, the reconstituted C/I may be asked to provide documentation supporting the change, or be asked to dissolve and re-form under a different name based on the recommendation of the Centers and Institutes Review Committee.

V. Appendices

Appendix A: List of 16 Peer and Aspirant University Centers and Institutes

Iowa State University	http://www.vpresearch.iastate.edu/index.cfm?nodeID=48338&audienceID=1
Ohio State University	http://research.osu.edu/about/centers-and-institutes/
Purdue University	http://www.purdue.edu/research/centers-institutes-cores/list.php
Rutgers State U. of NJ	http://centers.rutgers.edu/
University of Georgia	http://research.uga.edu/centers-institutes/ http://research.uga.edu/centers-institutes/uga-policy/
University of Iowa	http://research.uiowa.edu/directory-centers-and-institutes
University of Minnesota - Twin Cities	http://centers.umn.edu/
University of Missouri - Columbia	http://research.missouri.edu/about/centers
Florida State University	https://provost.fsu.edu/institutes-centers/
Northwestern	http://www.research.northwestern.edu/policies/center-proposal-evaluation-guidelines.html
University of Victoria – Canada	https://www.uvic.ca/research/assets-old/docs/vpr/policy/Research%20Entity%20communication%20document%20july%2014%20_hb_.pdf
University of Arkansas	http://provost.uark.edu/policies/162230.php
University of California –Santa Cruz	http://socialsciences.ucsc.edu/faculty-and-staff/administration/division-docs-policies/socsci-research-center-review-guidelines.pdf
University of California—Irvine	http://research.uci.edu/centers-institutes/oru-guidelines.html
University of California—Davis	
University of Wisconsin—Madison	https://research.wisc.edu/review-guidelines-vcrge-centers/

Appendix B: Potential Metrics for Evaluating Centers and Institutes. Centers and Institutes should define metrics most appropriate to evaluate their progress.[6]

Faculty Productivity

- C/I publications: number; index of quality/impact
- Citations of C/I publications
- Intellectual property disclosures, patents, licenses, start-ups
- C/I faculty members who are members of the national academies or comparable bo
- C/I faculty member's presentations to, or awards from, professional societies
- C/I faculty memberes innovative teaching, programming, or course development
- Other C/I faculty member honors, recognition, or public engagements
- Success in recruiting prestigious, high impact, or rising star faculty

Funding

- Externally funded research to the C/I
- Research funded by University or C/I funds
- Research expenditures
- Research proposals submitted
- Diversity of funding sources

Collaborations

- Internal: departments or schools represented by faculty members involved in collaborative research
- External: academic institutions, industrial partners, professional organizations, other external entities involved in collaborative research by the C/I

Education

- Training opportunities (for undergraduate, pre-doctoral, or post-doctoral students)
- Other educational programs, including symposia and colloquia for internal and external audiences
- Leads on new curricular development initiatives

Mentorship

- Doctoral and postdoctoral students: research, teaching, professional development
- Junior Faculty: pre-tenure mentorship

Resources

- Amount of discretionary funds
- Personnel
- Facilities and assets

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[6] Some of these metrics were obtained from Northwestern University's metrics for C/I's: http://www.research.northwestern.edu/policies/center-proposal-evaluation-guidelines.html

Outreach

- Service to society
- Influence on policy
- Educational outreach programs (e.g., high school students, teachers)
- Placement and outcomes of graduates (doctoral and postdoctoral)
- Industrial or external relations programs

Visibility

- Sets UConn apart from peer institutions in C/I topic area(s)
- Has clear visibility within and outside of UConn
- Demonstrates state, national, and international reputation
- Press coverage (mainstream media, news coverage, popular press)

Tangible return to UConn

- Fiscal return
- Support for and quality of students or fellows (undergraduate, doctoral, post-doctoral)
- Shared research facilities
- Intellectual property

Grants and contracts awarded

- Format for reporting (spreadsheet)
- Elements to be reported for each award (PI and Co-PIs [including identification of Center or Institute members), Agency, Title, Award Amount, Award Duration)
- Consider inclusion of information about declined awards as well

Appendix C: Tips for Organizing Conferences and Workshops

- Conference and Workshop Committee (and chairperson): It is highly recommended that C/I directors establish a conference and workshop committee, with a designated chairperson and sub-committees to handle different aspects of event planning. This helps distribute the workload and keeps things on schedule. Key stakeholders from within and outside the university should be invited to serve on this committee and to participate in the planning, organization, execution and post-event assessment.

- Conference Purpose and Target Audience: The purpose and target audience should be in alignment with the mission and vision of the C/I. If the C/I director feels the conference or workshop topic overlaps with another unit on campus, consider co-sponsoring the event and adding participants to the conference and workshop planning committee. If the C/I director is inexperienced in event planning, consult a C/I that has hosted successful events for tips and pointers. Successful event planning often begins a year or more in advance. Large events should be coordinated through University Event Planning [*http://conferences.uconn.edu*] and also coordinated through University Communications and/or University Catering [*http://dining.uconn.edu/university-catering/*]. Among topics to be considered are:

    - Date: Make sure to avoid scheduling the event coincident with other campus events, holidays, final exams, or during snowy seasons. If you do schedule a winter event, consider establishing a 'snow date.' Generally avoid Mondays and Fridays, especially if adjacent to a holiday.

    - Timing: Do not start the event too early; be mindful of travel times. Do not schedule too many talks close together; allow time for questions, breaks, socializing, poster viewing (if applicable) and networking.

    - Meals and Breaks: Schedule sufficient time for meals and breaks, and make sure coffee, tea and water are available throughout the day. Coordinate these activities with University Catering well in advance of the date.

    - Registration Fee: Keep fees reasonable (but not free), and provide a process for waivers or reduced fees for students. Encourage student attendance but coach students about etiquette (e.g. not fussing with phones or leaving early). Free events often get very high levels of pre-registration, but poor attendance. A nominal fee helps ensure participation.

    - Parking and Hotel Accommodations: Make parking and hotel reservations early.

    - Conference Website with Online Registration: Make sure you have created a conference website with all relevant information including registration, driving directions, hotel links and online registration. A preliminary program should be included.

- CEUs (or CECs): Continuing Education Units or Credits are often available through professional accreditation bodies. These must be arranged well in advance and often have conditions regarding the program (types of speakers, topics, length etc.). In some instances the accrediting body requires a person from their organization to serve on the conference organizing committee, so plan accordingly.

- Introductions: Make sure to include Deans, University Administrators or ‘big name’ speakers from government organizations (e.g. NIH, NSF), local governments, etc. These people should be placed at the beginning of the program, being mindful of their schedules (and the need of media outlets to get their stories filed).

- Publicity: As noted above, events should be widely publicized including ‘save the date’ notifications well in advance of the event, followed up with email and/or social media reminders and postings on the UConn Daily Digest and the University Calendar.

- Assessment: Assessing impacts after an event is critically important as summary information will be needed for Annual Reporting, and will guide improvements at future events. Make sure to maintain a record of attendance including students and onsite registrants (with email addresses). Printed surveys may be included in conference materials handed out to participants upon arrival, however these are frequently ignored. A short email follow-up survey (make sure to state, for example, ‘a short 2-minute survey (5 questions)’, thanking participants and asking simple questions about quality of the speakers, the overall program, utility of the information, ideas for improvement, success of networking, future topics etc. Many survey tools (e.g. Survey Monkey) have analytics features to make analysis quite easy.

Appendix D: Considerations for Websites, listervs, and newsletter

- All UConn websites must adhere to university guidelines for website/logo standards and work with WebDev designers to craft a site that is visually interesting and easy for users to navigate.

- At least quarterly, update site with information about activities, new grants, announcements, collaborations, etc.. Depending on the C/I, developing a "blog" approach to updates may be the most efficient way to report news. See the Rudd Center's site as an exemplar.

- Utilize the University event calendar to publicize relevant events and maintain an active site. Those visiting sites for information note when such data has not been updated and it conveys an impression that the C/I is not active. Pay particular attention to publications and update the bibliographies of core faculty members at least once per year.

- Many C/Is may wish to sign up for "Google Analytics" to analyze site usage data. Such metrics are often useful when making requests for funding or other forms of support from the University, as well as in donor development. It also is important to understand how web-based information about the Center or Institute is being used by university actors and those outside the university.

- Consider who may best be able to maintain an active site. Some C/Is train work study students or graduate assistants to update the site, while others use administrative or faculty staffing to do so.

Appendix E: Memorandum of Understanding Between the Department of [XXX] and the Center/Institute for [XXX] Regarding Jointly Appointed Faculty

DRAFT – Not yet vetted

Background: Interdisciplinary teaching, research and service/engagement are critically important to the university, and as such should be encouraged whenever practicable. One way to foster interdisciplinary relationships between centers/institutes (C/I) and departments is to set forth clearly-delineated goals and expectations for jointly-appointed faculty in the form of a Memorandum of Agreement (MOU). These agreements should describe the responsibilities of: the home department; the center/institute; the jointly-appointed faculty member; and areas of shared responsibilities. This guidance document has been prepared to aid in the preparation of offer letters, to provide guidance to search committees/department heads in drafting position descriptions, to provide information to jointly-appointed faculty members, and to help guide PTR committees charged with evaluating faculty productivity and performance. The UConn administration strongly encourages the timely implementation of an MOU for joint-appointed faculty members, and ask that each of the following issues be considered. Mutually agreed-upon modifications to this template are allowed as dictated by specific circumstances. Be advised that the Offer Letter and Union-negotiated contractual language (including Merit and PTR procedures) supersede the MOU. However, a jointly signed MOU can be referenced in the offer letter (and attached) if its terms have been agreed upon during the hiring process. In the event the faculty member separates from the university, the position will revert to the Provost's office. The decision to renew the agreement for a subsequent faculty hire will be based upon evidence of a close working relationship between the C/I and the home department, and the success of the overall endeavor (using agreed-upon metrics). In some cases the C/I will be given the option to align the faculty position with a different department.

MOU Template

1. **Joint Faculty Appointments**: The appointment of [xxx] will be joint between the Department of XXX ("the Department") and the C/I for XXX ("the Center/Institute."). The goal of this appointment is to advance interdisciplinary research and teaching in [Department field] and [C/I field] at the University of Connecticut. The Department Heads/Directors of the appointing units are jointly responsible for ensuring that all elements of this Memorandum of Understanding are within University, School or College, and appointing units' norms.

2. **Salary**: (insert proportion of the salary) for the appointee will be paid by Department A and (insert proportion of the salary) by Center/Institute B. All future increases will be negotiated between these two (or more) units. This allocation of salary will be congruent with expectations for research, service, and teaching.

3. **Moving Expenses**: In instances when a faculty member is being recruited to UConn, the C/I and School/College/Department will confer and agree upon how moving expenses will be shared, in keeping with the University's policy governing relocation expenses: *(http://policy.uconn.edu/2013/08/07/reimbursement-of-moving-expenses-policy-and-procedures/)*.

4. **Mentoring and Career Development**: It is highly recommended that the Department Head and the C/I director co-develop a faculty mentoring plan for joint-appointed faculty, with at least one mentor from the home department and one external member who is affiliated with the C/I (which can be the C/I director). The plan will also incorporate scholarship metrics, jointly developed with input from the faculty member, to address issues including appropriate scholarly journals for publication of interdisciplinary research, approaches for developing interdisciplinary research proposals, and other issues that may bear on promotion, tenure and re-appointment. A mentoring policy, adopted by CAHNR in 2012, is attached as Appendix D to serve as a guide.

5. **Tenure Home**" The School/College/Department [*specify*] will serve as the tenure home for this appointment.

6. **Space allocation, Start-up, and miscellaneous expenses**: The Department will provide primary office space in close proximity to other department members unless special arrangements have been made with the C/I. Costs for routine office supplies will be borne by the Department. More substantial types of support, such as computer upgrades, will be shared equally by the Department (or the College) and the Center/Institute. Space allocation and start-up funding will be determined in concert with the relevant Dean, Department Head, and Center/Institute director in consultation with the Provost's office.

7. **Departmental vs. Center/Institute Resources**: The faculty member will be given identical rights and privileges as all other members in the department including merit review, access to departmental funding, graduate assistantship support, support staff etc. Indirect Cost Returns generated from extramural funding will be unaffected by the joint appointment, with the standing agreement of a 10/10/10 distribution (faculty member, department, department head) remaining in place.

8. **Annual Review and Merit**: The School/College/Department will administer the Annual Review and Merit process for [xxx]. School/College/Department merit criteria shall be used, with the proviso that the School/College/Department treats contributions towards interdisciplinary research, teaching in [Department field] and [C/I field] with equal consideration. The C/I director will advise the departmental merit committee and department head as to the significance of [xxx's] scholarly contributions as they relate to the mission of the C.I. Annual face-to-face meetings should be scheduled to discuss progress and should include the department head, C/I director and the faculty member. In the event that the jointly-appointed

faculty member feels that their departmentally-based merit award does not adequately reflect meritorious activities in service of the C/I, they may notify the C/I director, who may in turn make a recommendation for adjustment to the relevant Dean and/or Provost.

9. **Teaching Duties**: Typically teaching duties and course assignments will be made by the Department Head in consultation with the C/I director. Specific assignments should be agreed upon in advance of hire, mindful of the shared mission between the Department and the Center/Institute, and only modified by mutual consent. The normal teaching load should be specified (insert normal teaching load) courses per semester. The Department Head and C/I director are jointly responsible for ensuring that the total teaching load does not exceed Departmental/School/College norms [*specify typical teaching load per semester*]. Departments should allow cross-listing of interdisciplinary courses with other departments and allow students from other disciplines to enroll based upon mutually agreeable criteria. In some instances, teaching duties may reside within the C/I or non-departmental programs (e.g. Environmental Science, Human Rights etc.).

10. **Service**: [xxx] shall be expected to provide service to both the C/I and the Department in an agreed upon proportion as measured by time expended. The C/I director and the Department Head are jointly responsible for insuring that the total service expected of the faculty member is in line with School/College and Departmental and norms.

11. **Promotion, Tenure, and Reappointment Criteria and Procedures**: All parties to the PTR process shall acknowledge the interdisciplinary nature of this appointment and shall apply criteria appropriate to such an appointment. In particular, publications shall be judged according to their quality as a contribution to interdisciplinary research, teaching and service. Contributions to the Department and the C/I shall be given equal weight in keeping with University guidelines:

- The Department Head and C/I director shall consult at least annually regarding the progress of [xxx] toward tenure [or promotion to full professor].
- The Department shall manage the PTR process following college and university guidelines.
- The Department Head shall consult with the C/I director or their designee regarding the choice of external letter writers at the point of tenure [or promotion to full professor] review.
- The C/I director shall have the opportunity to review the external letters and refer to them in his or her report.
- The C/I director shall provide a report assessing the scholarship, teaching, and service of xxx to the Departmental PTR committee before its evaluation of the dossier. This report will become part of [xxx's] PTR dossier and will be forwarded to the Department Head

and the Dean's Advisory Council. If not part of the PTR committee, the C/I director may appear before the Departmental PTR committee to discuss the faculty member's case and provide evaluative information to the Departmental Committee orally. This report will be evaluative in nature, and will not make explicit recommendations regarding Promotion, Tenure or Reappointment.

- In addition to the evaluative information provided as part of the dossier, the C/I director will provide an explicit recommendation regarding Promotion, Tenure or Reappointment in parallel to that provided by the Department Head for consideration at the Dean level and beyond. These evaluations should be performed on a yearly basis for pre-tenured faculty, and 'as appropriate' thereafter.
- The C/I director may delegate the writing of the report and the making of presentations to a faculty member affiliated with the C/I who is at the aspiring or higher rank. As preparation of the report requires access to the external letters, such delegation requires the consent of the faculty member under review. In the event this delegation is to be to a member of the Department, the act of delegation requires the consent of the Department Head and, if approved, the delegate may not vote or otherwise participate in the departmental PTR process.
- In any situation in which the Department Head is invited to appear in person before the Dean's Advisory Council (such as an appeal of a negative decision) the C/I director shall be afforded the same opportunity.

12. **Appeal process**: In the event of a disagreement as to the application of the terms of this MOA, [xxx], the C/I director and/or the department head/dean may appeal to the Provost's Office, whose decision if final.

This document is agreed between:

Faculty Member

Department Head

C/I Director

Relevant Dean or Vice Provost

Appendix F: Faculty Mentoring Plan (*reprinted with permission*)

CANR Mentoring Policy Guidelines
Issued March 27, 2012

I. Roles of the University and the CANR Administration

General expectations for Dean: The Dean has the responsibility to ensure the physical, structural and information resources are available to enable junior faculty to meet expectations. Resources, broadly defined, include startup packages, institutional support and traditional mentoring in academic life, including teaching, research, extension, and service.

Role and responsibilities of the Dean:

- Ensure the training and oversight of chairs or unit heads in best practices for mentoring, including one-on-one feedback to chairs or heads.
- Hold chairs accountable for their departmental culture, stimulating a collegial and collaborative climate, and for implementing mentoring practices and charting results.
- Orient new faculty to expectations for promotion, tenure and University citizenship
- Be mindful of the extra service burdens often placed on women and underrepresented minorities when nominating them for committee work.

General Recommendations for Department Heads: As a part of the mosaic model the Department Head has roles to both initiate and establish the mentoring relationship and facilitate the mentee's success.

Role and responsibilities of the Department Head:

<u>*Initiating the process*</u>

- Consult with newly hired faculty to assess their needs and use this assessment to identify an appropriate mentor.
- During the first year of hire select a mentor from the ranks of the faculty (typically tenured faculty). The mentor may be a faculty member from within the department, the college, or from outside the college. The research discipline of the mentor and mentee should be related but need not be identical. In a small department, it might be appropriate to ask someone in a related department to serve as a mentor.
- Encourage tenured faculty members to volunteer to be mentors and reward their service.
- Give the mentor and mentee a copy of the mentoring policy and any supporting documents.
- Discuss the policy, specifically addressing the goal, 'no-fault' provision, and confidentiality sections with both the mentor and mentee.

<u>*Advising*</u>

- Make the expectations and criteria for promotion clear.
- Give the mentee copies of the promotion and tenure guidelines for the department, college and university upon arrival.
- Make sure the mentee understands the timetables and deadlines.
- Be explicit about the way in which a new faculty member will be evaluated. Speak to the relative importance of student evaluations of teaching, extension contributions,

peer evaluations, letters from inside or outside the institution, external grants, independent scholarship, publication, and service.

- Give frequent and accurate feedback. Formally evaluate junior faculty annually, typically as part of PTR or similar reviews. Share and discuss the recommendations of any reviews with the faculty member. Take advantage of ad hoc opportunities to provide constructive, collegial feedback.

Facilitating Success

- Facilitate the acquisition of resources to meet expectations.
- Reduce the impediments to progress towards promotion. Support faculty development activities, avoid burdening the mentee with new course preparations every semester, and do not overload with departmental committees. Be watchful for issues related to personal life or work imbalance.

General expectations from the institutional structure: The University provides regular training related to University policies and procedures governing research, ethics, travel, honorariums, grants, lab safety, and other activities.

Institutional resources and the supporting roles they provide:

- The university is a large institution and contains multiple offices and sources of information for faculty and staff. These are collected together in the Faculty and Staff Resource Guide (http://resource.uconn.edu/). The link to this guide can be found in the Employee Tools pull down menu on the university home page for faculty and staff (http://www.uconn.edu/facultystaff/). The Guide contains brief descriptions of the resources available, together with direct links to their own web pages. It is fully searchable and also contains alphabetical listing of entries as well as a site map, which can be used to locate items of interest. It is a university wide guide and as such does not contain resource information specific to CANR.
- The Institute of Teaching and Learning is of particular note. It offers regular seminars and workshops and one-on-one consultations for teaching
- The CANR Storrs Agricultural Experiment Station provides personnel and programs in support of grant writing, budget preparation and proposal submission
- The CANR office of Academic Programs conducts regular workshops for new faculty and are a resource for advising issues
- The CANR office of Extension conducts training on reporting, and career and leadership development workshops.

II. Roles of the Mentor and Mentee

Overview of the mentor-mentee relationship:

The goal of the relationship between mentor and mentee is to help the mentee reach their full potential in all aspects of their work at the University of Connecticut. Mentoring can help define the critical institutional benchmarks that lead to tenure, namely success in scholarly work and excellence in teaching or extension. Mentoring can also help the mentee become part of the broader university community and establish a work-life balance. There are no hard rules for this type of relationship, but it is typically built on mutual respect, trust, and confidentiality.

The general role of the mentor: Mentors should be interested in the mentee's professional growth and development, be willing to commit time and attention to the relationship, to give honest feedback, and to act on behalf of the mentee. A mentor is not necessarily a friend "exclusively" assigned to a mentee, nor expected to be "on call" to listen to grievances and frustrations. Mentors should serve both as sources of information, as advocates for the new faculty member, and as a "safe" person to whom the mentee can bring questions or problems without fear of impact on a promotion decision.

Responsibilities and expectations for mentors:

- Initiate the first contact and arrange meetings or other proactive approaches to assure interactions with the mentee.
- Proactively develop a set of discussion topics and resources appropriate for the mentee's goals.
- Clarify expectations with the mentee about the extent to which guidance and time will be offered.
- Establish and maintain confidentiality with the mentee.
- Listen with an open mind and be willing to change goals for the relationship based on progress and changes over time.
- Exchange information about professional and personal experiences. The relationship is strongest when the mentor is willing to share experiences openly. Exchanging CVs is an easy method to provoke discussion and inform future meetings.
- Share experiences on stress management, life-work balance, and effectively managing time.
- Assist in crafting and clarifying the mentee's goals for teaching, research and service. Brainstorm about strategies to achieve goals and measurable outcomes.
- Ask about and encourage accomplishments. Provide constructive criticism and feedback. Give criticism when warranted but present it with specific suggestions for improvement. Use knowledge and experience to help the junior faculty member identify and build on strengths.
- Inform colleagues and administrators about the mentee's achievements. When appropriate, nominate the mentee for awards or other opportunities that will help build their reputation within the department, college, and university.
- Help the mentee identify and balance responsibilities in teaching, research, extension, and or service.
- Introduce the mentee to faculty, administrators, and staff within CANR offices and support facilities such as farms, greenhouses, animal handling and core facilities.
- Identify areas where the mentee's work overlaps with programs in other departments and colleges. Help the mentee connect with those faculty because they might become research collaborators or offer other resources (e.g. research equipment).
- Help the mentee learn about institutional support for professional travel, conferences, workshops, release time for special projects, equipment funds, and other resources. Help the mentee find resources for self-development.
- Evaluate grants, papers, or presentations as part of a 'pre-review' process. Introduce the mentee to others who may be able to perform similar services.

- Discuss how to say ‘no’ to some of the demands made on valuable work time.

Responsibilities and expectations of mentees: The CANR mentoring program is designed to provide assistance and guidance, but the ultimate responsibility for career advancement resides with the mentee.

- Participate in the selection of the mentor. Assess personal strengths, needs and concerns with the Department Head to help select the most appropriate mentor. Needs may change through time.
- Arrange meetings or other proactive approaches to assure interactions with the mentor and prepare questions and discussion topics in advance to make the most efficient use of the mentor’s time.
- Exchange CVs and information about professional and personal experiences with the mentor.
- Work with the mentor to clarify short- and long-term goals. Brainstorm about strategies to achieve goals and measurable outcomes.
- Keep an open mind to advice given by the mentor. Be open to changing goals and expectations for the mentoring relationship over time. Be open to and learn from the experience of others. Accept feedback in a constructive manner.
- Be willing to voice and explain concerns. Discuss duties and responsibilities (research, teaching or extension) with the mentor to help define priorities (publications, research, teaching, setting up the lab, committee work, etc).
- Weigh and judge advice (conservative vs. risk-taking). Seek out other established faculty for additional advice.
- Utilize opportunities for professional growth and excellence in teaching, research, and service. The mentor will make introductions to colleagues in the home and related departments. Use these encounters to explore opportunities for collaborations and discuss them with the mentor.
- Take responsibility, be an active agent and judge of appropriate courses of action for career advancement.

III. Suggested Topics for Discussion

<u>Department and College Culture and Expectations</u>:

- Every college and department has a unique culture. Expectations may or may not be clear in all areas. Discuss explicit and implicit expectations.
- What is valued within the college and department? What is rewarded?
- What important department, college, university, and professional events should junior faculty attended?
- How visible must one be in the department? Is it acceptable to work at home?
- What seminars and social events occur regularly? What is expected with regard to attendance and participation?
- How important are undergraduate clubs? Are you expected to participate in these events?
- Discuss the benefits of mosaic mentoring. Who can the mentee contact for additional input and feedback?

Promotion and Tenure Process (PTR):

- Discuss criteria for achieving promotion and tenure.
- Discuss the process as it pertains to the pre-tenure period.
- Discuss annual performance reviews with regard to how to prepare them, what to expect, how to deal with different outcomes.
- Evaluate the mentees annual performance document together before it is submitted to the department PTR committee.
- Consider how to identify people to write external letters of reference. How many external letters are need? From where?
- Discuss how to get feedback at any point in the pre-tenure career. Discuss the use of mosaic mentoring to gain feedback on the PTR documents and to strengthen weak areas.
- Discuss the importance of tracking accomplishments.

Research:

- Discuss the mentee's research area, goals, and benchmarks for success. Discuss the criteria for research excellence. How is research evaluated in your department, university and the scientific community?
- Discuss the process for becoming part of the graduate faculty.
- Explore mechanisms for developing visibility and prominence within the profession. Which journals and conferences might be most useful for establishing a national and/or international reputation?
- Discuss the important supervisory skills for running a lab.
- Discuss potential funding sources. Discuss the roles of the CANR grants office and the University Office of Sponsored Programs (OSP). Discuss the differences between grants and gifts, and the differences between federal, foundation, and industry funding sources. Are there differences in the weight placed on these grants during the PTR process?
- Talk about the process of writing grants and establishing budgets. Review issues such as: the forms required by the institution (e.g. cover sheet), the percent time committed, and separating direct/indirect costs.
- Explore opportunities that will aid in improving grantsmanship (e.g. workshops, review processes). Discuss how to contact the program manager/director before writing a grant.
- Discuss the internal funding opportunities (e.g. RAC large and small faculty grants), deadlines for these programs and how proposals are they reviewed and ranked?
- Discuss publishing. Is there a required internal review process prior to submission? If an article is rejected by a journal, how do you turn it around swiftly for re-submission?
- Negotiating authorship upfront.
- Discuss potential collaborations with other faculty. What are the advantages and disadvantages? How is credit received for collaborative grant writing and other work?

Teaching:

- Discuss the teaching load as defined by the department, college and university. What is required? What new courses could be developed?
- Discuss the methods used to evaluate teaching, the criteria are used, and the weight placed on student teaching evaluations. How is teaching evaluated beyond student evaluations? Is a teaching portfolio important?

- What are the options for having colleagues and mentors evaluate and offer feedback on teaching style?
- Explore the resources offered through the Institute for Teaching and Learning (ITL) to improve teaching skills.
- Discuss the process for obtaining and/or keeping a teaching assistant. Who selects the teaching assistant? What can be reasonably expected from teaching assistant? How should problems be handled?
- Discuss the guidelines for grading, providing midterm grades, and submission of final grades.
- Discuss the software available for establishing course web sites (HuskyCT) and course management.
- What documentation should be retained for PTR files? How are course evaluations conducted, evaluated, and weighted?

Outreach, Service and Extension Appointments:
- Discuss how much committee work should be performed within the department, college, and university before tenure. What committees are important to serve on or avoid?
- Discuss options for professional service outside of the university (e.g. assistant journal editor, grant panels, ad hoc journal reviews, professional associations). How is prestige of organizing a national event weighed versus the time commitment?
- For faculty with appointments in Extension, discuss the expectations for outreach and service. Which stakeholder groups are important? How is this work evaluated?
- Discuss ways of meeting colleagues from around the state and region.
- Discuss the methodology of client needs assessments, different types of program events, and event or program evaluation tools.
- Discuss unique funding and publications opportunities for Extension.
- Discuss methods of increasing the number of client contacts and how to build relationships with key clients or volunteers.
- Discuss program start-up funding.
- Discuss "damage-control" procedures when a client or volunteer is not completely thrilled with an event or program.

Mentoring Graduate and Undergraduate Students:
- Discuss the department process of reviewing and accepting graduate students. How to identify the best graduate students? What qualities are important and what are good recruitment strategies?
- How many graduate students should be supervised? What are the benefits of small and large laboratory groups?
- Discuss what is reasonable to expect from graduate students. How can problems be identified and addressed at an early stage? What are the options when there is a problem? How to set limits on the amount of time and effort invested?
- Discuss the relative merits and disadvantages of recruiting MS students, PhD students, and postdoctoral researchers.
- What role does the Graduate School play? What resources do they provide to faculty and graduate students?
- What is the process for foreign graduate students? How do students obtain a visa?

- How are pay and tuition determined for graduate students with a Graduate Assistantship or a Teaching Assistantship? How are these funds incorporated into budgets for external grants?
- How many undergraduate and Honors students should be advised? How can their needs and expectations be managed? What are the requirements for undergraduate degrees (majors and minors)? Where are the forms and other information? What options should be considered when problems occur?

Work/Life Balance:

- Discuss University policies for family, maternity, and personal leave. How is leave requested? Is there an appeals process if the request is turned down?
- What assistance does the university and union provide for childcare?
- How is information obtained regarding benefits such as health insurance?
- What are the university's sexual harassment policies? Ethics and diversity policies? Discuss the requirements for training in these areas.
- What resources are available if there is a controversy or dispute?

Considerations for tenure-track faculty from under-represented groups:

- Discuss the possibility of a hidden workload given the mentee's gender, race, ethnicity, sexual orientation, or disability.
- Discuss situations where a mentee may feel uncomfortable or where different standards are being applied unconsciously by others. Are cultural differences playing a role?
- Mentors and mentees can discuss ways to overcome barriers to informal networks or gatekeepers. Is there an 'old boys' club? Another type of hidden barrier?
- Review the groups, organizations, and support networks within the University that can help prevent or resolve feelings of isolation. These groups provide an opportunity to connect with others that share a specific bond (regardless if the primary mentor also shares this link).

IV. Example of Mentee-Needs Assessment Matrix*

The mentoring mosaic includes many types of support. The mentor will not be expected to handle all needs. Use this form to periodically (e.g., once per term) assess how needs are being met, and to identify other ways gain the additional support needed.

Need	I'm getting what I need from my mentor or other source	I don't have a need for this	I should ask my mentor for guidance on this issue	I should find another source other than my mentor to guide me	Other strategy?
Obtain guidance on research & scholarship					
Obtain guidance on publications					
Obtain guidance on tenure & promotion process					
Obtain guidance on teaching					
Obtain guidance on extension (outreach)					
Obtain training on reporting					
Obtain advice about service					
Obtain advice and information on university & department policies					
Seek out needed university resources					
Guidance in establishing professional networks at UCONN					
Guidance in establishing professional networks outside of UCONN					
Gain advice on adapting to university/college/School politics					
Advice on work-life balance					
Establish and maintain regular communication with Mentor					
Seek out needed community resources					
Gain advice on program/School politics					

*Adapted from the WAGE mentoring toolkit and the ADVANCE University of Rhode Island's mentoring program, Faculty Mentor Profile – a self analysis.

*Presented to Department Heads at August 24, 2012 Retreat

Appendix G: UConn Centers & Institutes

- Additive Manufacturing Innovation Center (AMIC)
- Africana Studies Institute
- Asian and Asian American Studies Institute
- Bioinformatics & Biocomputing Institute
- Booth Engineering Center for Advanced Technology (BECAT)
- Brain Imaging Research Center (BIRC)
- Center for Advancement of Managing Pain (CAMP)
- Center for Applied Research in Human Development
- Center for Behavioral Education and Research
- Center for Biochemical Toxicology
- Center for Clean Energy Engineering (C2E2)
- Center for Education Policy Analysis
- Center for Environmental Health and Health Promotion (CEHHP)
- Center for Environmental Sciences and Engineering (CESE)
- Center for Genome Innovation
- Center for Hardware Assurance, Security, and Engineering (CHASE)
- Center for Integrative Geosciences
- Center for International Business Education and Research (CIBER)
- Center for Judaic Studies and Contemporary Jewish Life
- Center for Land Use Education & Research (CLEAR)
- Center for Pharmaceutical Processing Research
- Center for Real Estate and Urban Economic Studies
- Center for the Advancement of Business Analytics (CABA)-website in production
- Center for the Ecological Study of Perception and Action
- Center for the Study of Culture, Health and Human Development (CHHD)
- Center for the Study of Popular Music
- Center of Biological Risk
- Center of Excellence for Vaccine Research (CEVR)
- Center on Postsecondary Education and Disability (CPED)
- Comcast Center of Excellence for Security Innovation (CSI)
- Connecticut Center for Economic Analysis (CCEA)
- Connecticut Center for Entrepreneurship & Innovation (CCEI)
- Connecticut Cybersecurity Center (C^3)
- Connecticut Information Technology Institute (CITI)
- Connecticut Institute for the Brain and Cognitive Sciences (IBACS)
- Connecticut Institute for Resilience & Climate Adaptation (CIRCA)
- Connecticut Institute of Water Resources
- Connecticut Sea Grant College Program
- Connecticut Transportation Institute
- El Instituto: Institute of Latina/o, Caribbean and Latin American Studies
- Eversource Energy Center
- GE Global Learning Center
- Human Rights Institute
- Humanities Institute
- Institute for Collaboration on Health, Intervention, and Policy (InCHIP)
- Institute of Materials Science
- Institute for Systems Genomics
- Insurance Law Center
- Korey Stringer Institute
- Northeast Underwater Research, Technology & Education Center (NURTEC)

- Neag Center for Creativity, Gifted Education and Talent Development
- Peter J. Werth Institute for Entrepreneurship & Innovation-website in production
- Reading-Language Arts Center
- Ronald and Nancy Rohner Center for the Study of Interpersonal Acceptance and Rejection
- Stem Cell Institute
- UConn Rudd Center for Food Policy & Obesity
- UTC Institute for Advanced Systems Engineering
- Wildlife & Fisheries Conservation Center
- Zwick Center for Food and Resource Policy