



## EHE College Center Guidelines

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### **1.0 Introduction**

As the EHE College Centers have developed in recent years, it has become increasingly important to develop a list of common guidelines. Thus the purpose of this document is to outline a list of principles, policies and procedures relative to the conduct of College Center work. This will not only allow current College Centers to follow a common set of guidelines, but to provide guidelines for new College Centers as they come into being. In order to make this document relatively complete, other related extant documents have been incorporated herein. These guidelines only refer to EHE College Centers, not to University Centers or to Department Centers, which operate under different sets of guidelines.

College Centers have their own internal documents to guide their particular operations (e.g., guidelines, patterns of administration, boards/councils/committees, etc.). Each center has its own specific mission and needs to have more specific documents in place. Thus, this document is not meant to supersede College Center internal documents. Having said that, each College Center should develop a comprehensive set of checklists for key operating procedures and a Standing Operating Manual. These documents will be periodically reviewed by the Dean and/or Associate Dean for Research.

Center staff may include the following types of positions:

- Executive Director / Director
- Associate Director / Assistant Director
- Faculty (with either an affiliated appointment or other association in a center)
- Research Scientists
- Senior Researchers
- Post-Doctoral Associates or Fellows
- A&P Staff
- GRAs

Student Workers

Others (e.g., classified civil service)

Officially, the management of College Centers is authorized and overseen by the Dean of the College and the Associate Dean for Research. It is our hope that the following guidelines will assist in the growth and development of EHE College Centers. They will be reviewed and modified on a continual basis and should not be considered all-inclusive, as they are mainly overarching guidelines. As new information presents itself, and as time permits, the guidelines will be revised. We welcome your comments and suggestions on these guidelines and their application.

## 2.0 Principles of College Centers

EHE Centers are committed to the following principles:

- ❖ Consistency – to produce uniform general practices across EHE College Centers (each Center will have documented practices more specific to their individual needs and missions).
- ❖ Efficiency – to reduce costs, increase revenue, and concurrently develop Centers of excellence.
- ❖ Flexibility – to create working environments that satisfy today’s research needs and can adapt to fulfill our future research requirements.
- ❖ Equity – to ensure resources are allotted fairly throughout the College Centers.
- ❖ Sustainability – to fully utilize our existing resources and avoid undue waste in order to ensure support for the mission, staff and other commitments over time.
- ❖ Transparency – to communicate to all EHE members the basis for decision-making regarding College Centers.
- ❖ Productivity – to establish a climate throughout the College that values the professional life and work of those individuals operating within College Centers.
- ❖ Collaboration – to encourage collaboration among individuals both within each College Center, as well as across College Centers and Academic Units.
- ❖ Safety – to consider the safety and security of College Center individuals (staff and subjects, as necessary), and to consider the safety and responsible care of documents and data (e.g., requirements involved in IRB and ORRP policies).
- ❖ Access – to be consistent with ADA guidelines.

## 3.0 Academic Guiding Principles

### A. FACULTY

- There will be a minimum of 2 faculty members having a formal relationship with each center. The relationships could be any of the following: (a) faculty with an affiliated appointment in a Center, (b) faculty with other associations in a Center (e.g., externally funded), (c) administrators (e.g., Center Executive Director, Director, Associate Director, Assistant Director), (d) faculty bought-out for time on Center-based research grants, or (e) some other defined relationship with a Center. The nature of these relationships is at the discretion of the Center’s own internal policy, the Director, and/or the faculty member. The idea is to have some level of faculty involvement in each center.
- There are several mechanisms that can be used to enable faculty collaboration with Centers. These include any of the following: (a) public relations (e.g., via email, website pages, entries on EHE and other calendars, etc.), (b) workshops (which could be sponsored by Centers, the EHE Office of Research, Departments, etc.), (c) colloquia or brown bag series, (d) publications (e.g., EHE Office of Research newsletters), (e) EHE faculty with affiliated appointments (more fully described in Section 6), (f) seed grant programs, (g) study groups, (h) working groups, (i) review panels, (j) writing groups, and/or (k) other projects.

## B. PROGRAMS AND DEPARTMENTS

- There will be a minimum of two different academic programs involved in some capacity with each College Center, preferably from at least two different departments. The philosophy for College Centers is to be interdisciplinary units that serve a broader purpose than just a single academic program from a single department. That is why these are known as “College Centers.”
- This could also be facilitated in the same fashion as in the Faculty bullet above.

## C. SPACE MANAGEMENT

- EHE space, including that for College Centers, is covered in a separate document, *Space Allocation Guidelines*. The entire document can be found at <http://ehe.osu.edu/downloads/facilities/ehe-space-mgmt-guidelines.pdf>  
The most relevant guiding principles for Centers are listed below in Section 5.

## 4.0 Space

### A. OFFICES

#### 1. Considerations for Determining Office Types

One of the more difficult space decisions for unit leaders concerns the appropriate working environment allocated to personnel (i.e., private office or open-office environment). Several factors for consideration of the decision process are listed below:

- Appointment – full-time, part-time, other
- Degree of document security required
- Extent of team work engaged in
- Frequency of confidential communication, both in-person and over the phone
- Job position, rank and classification
- Processing of confidential data
- Proximity to co-workers
- Supervisory and/or managerial responsibilities
- Volume of noise generated by work activities

#### 2. Second Offices

EHE discourages the assignment of second offices for faculty and staff. However, assignment of a second office may be provided in the following cases:

- Faculty who are Center Directors and desire spaces in both their Center and their academic unit.
- Faculty who have affiliated appointments with a Center whose principal office is located a considerable distance away.

Second offices should be smaller than 140 asf. The Dean, Associate Dean for Research, and/or Center Director will collaborate to consider requests for second offices (as well as other options such as shared space).

#### 3. Furniture Usage

Closely linked with space management is the management of furniture. The following principle announced in 2008 regarding existing furniture is still in effect:

## PLAN TO REUSE FURNITURE WHEN RENOVATING

(Ref: EHE News announcement from Dean Cheryl Achterberg 8/19/08 to College Community)

*The purpose of this announcement is to establish a general working principle within the college, effective immediately and until further notice:*

*With regard to any renovation or other building project within the college, (including centers), that requires furnishings, make every effort to use existing furniture in the unit or other used furniture within the college first.*

*New purchases should be limited to what is necessary and otherwise unavailable in the college.*

*Creative repurposing of materials and furniture should also be encouraged adhering, of course, to common good taste. This practice will enable all of us in the college to dedicate available money for use on people and projects; when the budget allows more resources in the future, new purchases may be considered.*

## B. RENOVATIONS

### 1. Requests

In an effort to coordinate and prioritize the physical changes throughout EHE's many locations, all requests for renovations (regardless of funding source) are to be made by the Center Directors to EHE Facilities using the request form found online at the EHE Facilities webpage <http://ehe.osu.edu/downloads/facilities/space-or-renovation-request-form.pdf>. Requests will be reviewed by the Associate Dean for Research, with consideration of the following:

- Support of the College mission and University initiatives (e.g., Discovery Themes)
- Alignment with the College and Center strategic plans
- Availability of funds
- Repurposing or enhancement of research space, inter-disciplinary space, and/or other shared space collaborations
- Availability of swing space (if applicable).
- Proposal to cost-share
- Uniqueness of the function and space to be renovated
- Other aspects such as safety, energy efficiency and image.

### 2. Funding

Renovation requests requiring a cost-share arrangement with the College should be submitted to the Facilities Planner by May 1<sup>st</sup> in order to be considered in the budget planning process for the next fiscal year.

### 3. Project Initiation

Approved renovations will be initiated with FOD (Facilities Operations & Development) by the submission of an online Project Request <http://ehe.osu.edu/downloads/facilities/space-or-renovation-request-form.pdf>. EHE's Facilities Planner will submit the Project Request in coordination with the requesting unit.

## C. ADDITIONAL SPACE

All requests for additional Center space are to be made by Center Directors to EHE Facilities using the request form found online at the EHE Facilities' webpage <http://ehe.osu.edu/downloads/facilities/space-or-renovation-request-form.pdf>. Requests will be reviewed by the CIO and/or Dean with many of the same considerations listed above for renovations.

Requests for space not assigned to EHE require additional steps and tracks a longer process. In addition to completing the form mentioned above, EHE's Facilities Planner will submit a Space Request to the University for review. The University considers such things as the College's utilization of currently assigned space, university and college strategic plans, how the request supports OSU's mission and the overall space needs of other campus units.

## A. RELOCATION

What follows are general guidelines for relocating (moving) Center personnel within their spaces. The following individual must be involved in this type of relocation decision—the Center Director (and perhaps also their designee). Centers have the liberty of relocating their personnel as the Center Director deems necessary. Thus there is no need to involve anyone at the college level for a move that is within a Center's space. This allows the Director a degree of control to manage their assigned spaces. Equally important, it makes each unit accountable for their relocation costs. A report of such activity should be forwarded to the Facilities Planner office for information purposes. Here are the steps:

- 1 – Discussion of the move with the Center Director (including scope of the work and the process);
- 2 – Approval by the Center Director;
- 3 – The Director or their designee meets on-site with a moving vendor;
- 4 – Upon receipt of the vendor's estimate several days later, the Director or their designee initiates the e-request process; and
- 5 – After the PO is issued, the Director or their designee coordinates the moving schedule.

For some moving tips, see the document "Office Relocation – Moving Tips" at <http://ehe.osu.edu/downloads/facilities/office-relocation-moving-tips.pdf>.

## 6.0 Faculty Review and Reappointments

### A. REVIEW OF FACULTY WITH CENTER ASSOCIATIONS

The EHE Office of Faculty Affairs, in consultation with the Dean and the University Office of Academic Affairs (OAA), has developed a procedure concerning letters of faculty review authored by Center Directors. This procedure only concerns the review of tenure-track faculty who have been "bought out" for a percentage of time to work in a Center (referred to as Affiliated Appointments). For example, Associate Professor X has 20% of her workload allocated to Center A. (It does not pertain to faculty whose only relationship to a Center is that they have been bought out on a research project funded by or through a Center. Questions about whether this policy pertains in a specific case should be referred to the EHE Associate Dean for Faculty Affairs; <http://ehe.osu.edu/faculty-affairs/>).

These procedures are based on the following principles:

- There should be an evaluation of the work accomplished for the percentage of the time that a tenure-track faculty member is allocated to a Center.
- That tenure-track faculty are treated fairly.
- That whatever evaluation is composed that a tenure-track faculty member would have a reasonable opportunity to respond and have such a response seriously considered.
- That the academic freedom of tenure track faculty is protected.
- That participation in a Center cannot be held against a faculty member under-going annual review, 4<sup>th</sup> year review, mandatory review or non-mandatory review.
- That there should be transparency in the process.
- That all procedures are consistent with OAA policies, university rules, and the EHE APT (Appointments, Promotion & Tenure) document.

### *Annual Reviews*

With regard to evaluations by Center Directors related to Annual Reviews of faculty, in order to insure coverage of that percentage of time spent working in a Center that there should be an annual evaluation composed by the Center Director. The faculty member should be provided a reasonable time to respond to the letter and may provide written comments. The Center Director should seriously consider any response made by the faculty member and make whatever revisions, if any, are appropriate to the letter of evaluation. After faculty comments and appropriate revisions are made, that evaluation letter should be forwarded to the department chair. Because the department chair is officially required to engage in both a summative review and a formative review considering the development and trajectory of the faculty member [as per OAA policy, the EHE POA (Patterns of Administration) and APT documents], the department chair should consider and contextualize whatever comments are made by the Center Director with regard to the annual evaluation. The evaluation letter from the Center Director would also be included as part of the annual evaluation. That is, although the letter from the Center Director is included in the annual review, the department chair should do more than simply attach the Center Director's evaluation to the annual evaluation, but rather incorporate that evaluation as part of an overall summative evaluation as well as part of a formative evaluation.

### *Reviews Related to 4<sup>th</sup> Year Reviews, Mandatory Reviews and Non-Mandatory Reviews*

With regard to evaluations by Center Directors for the purpose of either 4th year review, promotion and tenure review, or non-mandatory promotion review, (a) the Center Director should compose an evaluation that identifies and speaks to the pertinent criteria in appropriate APT documents; (b) that the faculty member be permitted an opportunity to respond; and (c) that after any appropriate revisions that the Center Director's letter be forwarded for inclusion in the faculty member's dossier.

### *General Considerations*

With regard to annual reviews, 4<sup>th</sup> year reviews, mandatory reviews, and non-mandatory reviews, participation in a Center cannot be held against a faculty member by the TIU (Tenure Initiating Unit) Committee of Eligible Faculty or the department chair. That is, criteria in APT and OAA documents indicate that the pertinence of a faculty member's research agenda to the department mission can be considered in promotion and tenure reviews. One could imagine a situation in which a faculty member's participation in a Center might not be considered by a Committee of Eligible Faculty or a department chair as pertinent to the department's mission and agenda. However, since initial appointment to a Center requires approval of the department chair, such agreement needs to be considered *prima facie* evidence that such work is pertinent to the mission of the department.

In the interest of fairness, whatever procedures are approved should be explicitly shared with all parties so that everyone is aware from the beginning of appropriate procedures and of their responsibilities. It is the responsibility of both Center Directors and Department Chairs to insure that these procedures are shared with the appropriate faculty.

## B. PROCEDURES FOR REAPPOINTMENTS OF TENURE-TRACK FACULTY TO EHE CENTERS

A reappointment of a tenure-track faculty member to a Center for a percentage of time requires the agreement of the Center Director, the faculty member, and that faculty member's department chair, and it requires the approval of the Dean (or the Dean's designee, which in this situation is the Associate Dean for Research).

The reappointment process begins with the Center Director. If a Center Director does not want to make a reappointment, the Center Director should inform the faculty member and the department chair at the earliest possible time but no later than one semester before the end of a current appointment. Please note that there is no presumption of reappointment regardless of performance.

If a Center Director wishes to reappoint a faculty member for a percentage of time to the Center, then the Center Director should inform the faculty member and the department chair of the interest in making a reappointment no later than one semester before the end of a current appointment (if possible, such interest should be communicated at least two semesters previous to the end of a current appointment).

If the faculty member does not wish to be reappointed, the process stops and there is no reappointment. While a department chair also needs to agree to a reappointment (and if the department chair does not agree, then there is no reappointment), unless there is a compelling rationale<sup>1</sup> for not making the reappointment the department chair should be supportive of a reappointment (assuming appropriate conditions for the reappointment).

Assuming that the faculty member is in general agreement with a reappointment, the Center Director should inform the faculty member and the department chair whether there will be any changes to the conditions of the reappointment (including but not limited to percentage of time and responsibilities). The faculty member, the department chair, and the Center Director may negotiate the conditions of the reappointment. If the faculty member, the department chair, and the Center Director cannot agree on conditions of the reappointment, any of the parties may invite the Associate Dean for Research to mediate the negotiations.

Once the Center Director, the faculty member, and the department chair agree upon conditions of the reappointment, the conditions and length of the reappointment should be written in the form of a draft MOU. The draft MOU should be forwarded to the Associate Dean for Research. The Associate Dean

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<sup>1</sup> Examples of a compelling rationale include critical instructional needs in the department that cannot be met if there is a reappointment, concern with adverse effects to a faculty member's trajectory toward promotion and/or tenure, anticipated allocations of a faculty member's time to other research projects that cannot be met if there is a reappointment.

for Research, acting on behalf of the Dean, will review and if appropriate approve the draft MOU, and a letter of reappointment will be drafted by the College Office of Human Resources.

## **7.0 College Investment to Support College Centers**

Upon the initiation of a new College Center, the College will develop an investment plan with that Center. This could include for example, space, start-up funds, salary, and/or operating expenses. The idea is that each center needs EHE funding to initiate its operations. The investment plan is negotiated between the incoming Director, the Dean, and the Associate Dean for Research. It is expected that over time Centers will become more and more self-sustaining, meaning that the College investment may decrease. This will be part of the Center's annual review that is already in place. The Dean may make changes to a Center, its structure, funding model, and/or operations, including increasing, reducing or ceasing operations, based on such evidence and availability of funds. Some Centers inherently have a short-term life cycle, based on funding streams and national interest, while others have longer-term life cycles. Annual review is necessary so that Centers can progress as research entities as well as operate within the best interests of the College.

For both new and extant Centers, the Director will develop an annual investment plan with the Associate Dean for Research for consideration by the Dean. [This could be submitted as part of the annual review of Center Directors]. The plan would document and support the notion of Centers moving toward self-sustainability. The plan is expected to evolve over time and could include the following components:

- (1) Initiation of percentage appointments of faculty within Centers (e.g., a 1/5 or 2/5 Center appointment) that would be funded by EHE, as funds permit. In other words, current or incoming faculty would be appointed some percentage of their time for Center-based work;
- (2) The use of residual funds beyond one year (note: current EHE policy is that residual funds not spent one year beyond the end of an award will revert to the College). More specifically, if centers want to retain their residual funds for operating purposes beyond one year, a simple annual email request to the Associate Dean for Research would normally suffice. This would allow Centers to have a degree of fiscal responsibility.
- (3) Negotiation for award allocation, such as IDC returns, who receives credit for research work, etc.
- (4) Processes for providing fee-based services.
- (5) Other components that the Director would like to consider.

## **8.0 Faculty Involvement on College Center Grants**

Faculty involvement in center activities creates the opportunity for collaborations on internal and external grant submissions. In turn, these collaborations necessitate careful consideration of award and expenditure allocations, initially on the required Authorization to Seek Off Campus Funding Form (ePA005) but subsequently for the funded work. The following principles should be used in award and expenditure allocations:

- If a faculty member has an affiliated appointment with a center, both the department and the center should be listed on the ePA005 (even if allocation to either unit is 0).
- Discussion of proper award and expenditure allocation for a given project should be initiated by the faculty member with the Chair and Director well in advance of submission, ideally at least 30 days.
- The award allocation, which will equal 100% across all organizations involved, drives the dollar value allocated to each organization in proposal reports generated by the Office of Sponsored Programs (i.e.,

eActivity reports). It is suggested that award allocation be based on the significance of the intellectual contribution of the investigators to the development of the proposal/award. For instance, if three investigators collaborate equally on crafting a proposal, the award allocation could be split three ways accordingly. If two investigators are from Department A and the third is from Center A, Department A would receive 67% of the award allocation and Center A would receive 33% of the award allocation. A similar process would be considered for faculty members having affiliated appointments with a center.

- The expenditure allocation, which will equal 100% across all organizations involved, drives the allocation of F&A to colleges; it also drives the dollar value allocated to each org in eActivity's expenditure reports. The components that make up OSU's 56% F&A rate are:
  - 26% - Administration (purchasing, travel, human resources, fiscal management, proposal submission, etc.)
  - 30% - Space/Facilities (operations and maintenance, equipment and building depreciation, etc.)

It is suggested that the expenditure allocation align to the actual conduct of the work in terms of pre- and post-award activities. That is, the expenditure allocation recognizes the facilities (space) and administrative support provided by each organization. For instance, if three investigators collaborate on crafting a proposal, two from Department A and one from Center A, the expenditure allocation would track to the unit(s) in which the project activities will take place. If Center A will serve to administer the grant and provide it space and facilities, the expenditure allocation would reflect this (e.g., 90% allocation to Center A and 10% to Department A). Because the expenditure allocation tracks to provision of F&A, there should be advance discussions of what unit will provide F&A to a project so that this allocation tracks correctly. If a unit is not providing any F&A to a project, it is expected that their expenditure allocation would be low (e.g., 5%), although the award allocation might be higher (e.g., 33%).

## 9.0 IDC Guidelines

As the University has no overarching set of guidelines for the determination and distribution of IDCs (indirect costs) for centers (College or University), the EHE Facilities and Administrative Cost Policy 101218 (<https://portal.ehe.osu.edu/sites/portal.ehe.osu.edu/files/files/facilities-and-administrative-costs-policy.pdf>) will serve as guidelines for EHE's College Centers.

In most cases, the IDC rate is fixed by the funding agency, and thus there is no room for negotiation. Occasionally, the IDC rate is variable and either an off-campus rate (in cases where most of the work will take place off-campus) or a negotiated rate is possible. In the latter cases, the Associate Dean for Research is ultimately responsible for signing off on these rates. In part, this is because some of the College's funding comes from the IDC return. An IDC rate that is not in the best interest of the College, either in terms of return, community service, and/or political or other considerations, may not be approved. Any such negotiations need to be conducted well in advance of the application due date (at least two weeks). Otherwise the submission could be jeopardized.

## 10.0 ePA-005 Approval Process

The standard routing process for College Center submissions generally follows in the same fashion as for submissions from Departments. However, there is one area of difference, as when EHE Faculty are part of a Center submission. For a faculty member included on a College Center submission, the Department Chair must be consulted, as it is they who are ultimately responsible for granting release time.

Chairs are also one of the signatories on the Release Time Agreement form (GA-004), in which faculty are released from a portion of their regular faculty duties (typically teaching, but not necessarily) to work on a grant.

Chairs should automatically be included for sign-off when the ePA005 is generated. Failure to involve the relevant Chair could affect the release time of the Faculty member. If Faculty members are released from teaching to participate on a grant, consideration of course coverage must be made. Hence faculty should involve their Chairs early on in the proposal development process so that issues can be resolved in advance.

## **11.0 Fundraising Guidelines**

Any College Center or Center participant engaged in fundraising efforts, beginning with initial contact, must immediately involve EHE Advancement. In no case should an individual be involved with such efforts beyond initial contact on their own behalf without College involvement and oversight. Otherwise relations with donors or prospective donors could be damaged. The EHE Office of Advancement (<http://ehe.osu.edu/advancement/>) is here to assist Centers in this regard. Thus Advancement will work with Center Directors to develop an initial advancement plan, which will be revisited as the need arises for their Center.

## **12.0 Communication Guidelines**

Any Center or Center participant wishing to publicize their work, OTHER than in publications, conference presentations, or Center websites, should involve EHE Communication and Media Relations (<http://ehe.osu.edu/communication/>) as soon as possible.

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