



UNIVERSITY POLICY AC-05.01-05/23

TO: The University of West Florida Community

FROM: Dr. Martha D. Saunders, President

SUBJECT: Institutes and Centers

RESPONSIBLE OFFICE: Division of Academic Affairs

I. Purpose:

To establish University of West Florida policies and procedures for approving, classifying, operating, reviewing, and disbanding institutes and centers in the State University System Inventory of Institutes and Centers

Institutes and centers contribute significantly to the University’s mission in that they effectively address specific societal needs in education, research, or service that cannot be adequately addressed through the formal college and department structure of the University. They often provide a vehicle for interdisciplinary activities that involve more than one department, college, or other administrative unit. Institutes and centers facilitate the creation of new knowledge, dissemination and application of basic and applied knowledge, and development of technologies that address societal needs. These activities enhance the economic, educational, scientific, and social well-being of our region and society. Institutes and centers provide unique opportunities for faculty and students from different disciplines to collaborate.

Recognizing the important contribution that institutes and centers make to the University and the community at large. The following policy provides guidelines for the establishment, disbanding, and assessment of institutes and centers at UWF. This policy is based on the requirements of the Florida Board of Governors as described in BOG Regulation 10.015. These guidelines apply to all officially designated research and service institutes and centers at the University. There are entities that use the term “institute” or “center” in their name that are excluded from this policy because they provide an administrative service or strictly supportive academic function (e.g., advising centers; Center for Fine and Performing Arts; Center for Teaching Learning and Technology, etc.).

Templates and forms referred to herein are available from the University’s Office of Research Administration and Engagement.

III. Policy:

A. State of Florida Institute or Center

Following are the policies and procedures for establishing, reviewing, and disbanding a State of Florida Institute or Center.

1. Characteristics of a State of Florida Institute or Center are:

- a. Has a statewide mission that may include two or more state institutions established to coordinate interinstitutional research, service, and teaching across the State University System.
- b. Must be approved by the Florida Board of Governors.
- c. Has a separate unit account in the host university's operating budget; additional budget requests must be reviewed by the Council of Academic Vice Presidents (CAVP), and only those with a positive recommendation are carried forward to the Board of Governors for consideration.
- d. May spend State funds appropriated to the institute or center according to Legislative or University decisions.
- e. May spend "other" funds (e.g., fees; contracts and grants – including private, federal, and State contracts and grants not appropriated through the Educational and General budget entity).

2. Establishment of New State of Florida Institutes and Centers

The following procedures should be used to propose a new institute or center:

- a. Prepare an application for establishment of the institute or center. The application for a State of Florida Institute or Center will include:
 - i. A concept paper describing the purposes and activities of the proposed institute or center and how the proposed institute or center supports established priorities of the department, college, University, and Board of Governors.
 - ii. Signature Page (Form 1A)
 - iii. Directory Information (Form 1B)
 - iv. Estimated Expenditures for the Institute or Center (Form 1C)

- v. Draft of the Memorandum of Understanding ratified by the presidents of all affiliated universities that includes:
 - (a) The name of the institute or center;
 - (b) The identification of the host institution and participating institutions;
 - (c) The mission of the institute or center;
 - (d) Guidelines for appointing, funding, supervising, and evaluating the director of the institute or center;
 - (e) The criteria for appointments to the institute or center's advisory board, including terms, roles, authority, and, if known, current members;
 - (f) Expectations for the administrative and logistical support for the institute or center, including expectations regarding the reimbursement to the host university for direct costs of administrative services rendered by the university to the institute or center;
 - (g) Procedures at the institutional level for recommending increases and decreases in the appropriation of State funds for the institute or center;
 - (h) Specifications for the processing of contracts and grants, including the percentage of overhead funds to be returned to the institute or center; and
 - (i) Expectations and criteria for the cyclic review of the institute or center at least once every five years and other planning and expectations for its operation

- vi. Legislative Budget Request (if applicable)
 - b. Secure recommendation of the appropriate Dean(s) and submit to the Associate Vice President for Research.
 - c. Secure recommendation of the Associate Vice President (AVP) for Research who will coordinate review of the proposal by the Sponsored Research Advisory Committee and the Faculty Senate. The AVP for Research will submit a recommendation to the Provost.
 - d. Secure approval of the Provost, who submits to the President for review.
 - e. Secure approval of the President, who will subsequently submit the proposal for approval by the Board of Trustees.

- f. Upon their approval, the President shall submit the proposal to the Office of Academic and Student Affairs at the Board of Governors (per guidelines approved by the Council of Academic Vice Presidents) for recommendation to the Chancellor. The Chancellor may then request approval from the Board of Governors and request Legislative funding. Any State of Florida institute or center must receive full approval from the Florida Board of Governors prior to implementation.

3. Reporting and Evaluation/Review Requirements

State of Florida institutes and centers shall be reviewed not less than once every five years, based on criteria and procedures established by the Council of Academic Vice Presidents. Additional criteria for the review may be contained in the Memorandum of Understanding. The review shall include:

- a. A determination of the institute or center's progress against defined goals and objectives within the context of the institute or center's mission, the mission(s) of each participating university, and the current Florida Board of Governor's Strategic Plan;
- b. An assessment of the return on investment of State dollars, if applicable;
- c. The need for continuation of the institute or center;
- d. Possible changes in mission or organizational structure;
- e. Budget reduction or expansion;
- f. Recommendations for change of classification (State of Florida institute or center, or University institute or center), if applicable; and
- g. Recommendations for status change (active, inactive, terminated), if applicable.

4. Disbanding a State of Florida Institute or Center

The following procedures will be used to disband a State of Florida Institute or Center:

- a. The institute or center director or other university administrator with oversight responsibility notifies the Provost. The Provost reviews the request and recommends the disbanding to the President. The President informs the Board of Trustees and subsequently submits a formal request to the Council of Academic Vice Presidents for recommendation to the Board of Governors within 30 days of final university approval.
- b. In the event that a disbanded institute or center has been funded by the Legislature, the university must provide documentation to ensure that Legislative intent has

been achieved and that the institute or center is no longer required. Fiscal information must be provided as part of the annual reporting process if the institute or center expends any funds during the fiscal year in which it is disbanded.

B. University of West Florida Institute or Center

Following are the policies and procedures for establishing, reviewing, and disbanding a University of West Florida Institute or Center.

1. Characteristics of a University of West Florida Institute or Center are:

- a. Has a local or regional mission and is generally established in a single institution.
- b. May expend State funds appropriated to the institute or center according to Legislative or University decisions.
- c. May expend "other" funds (e.g., fees; contracts and grants)

2. Establishment of a New University of West Florida Institute or Center

The following procedures should be used to propose a new UWF institute or center:

- a. Prepare an application for establishment of the institute or center. The application for a UWF Institute or Center will include:
 - i. A concept paper describing the purposes and activities of the proposed institute or center and how the proposed institute or center supports established priorities of the department, college, and University.
 - ii. Signature Page (Form 2A)
 - iii. Directory Information (Form 2B)
 - iv. Estimated Expenditures for the Institute/Center (Form 2C)
- b. Secure recommendation of the appropriate Dean, if the focus is in the college, and the Provost, if the focus is at the University level. The Dean or Provost will submit to the Associate Vice President for Research.
- c. Secure recommendation of the Associate Vice President (AVP) for Research who will coordinate review and comment of the proposal by the Sponsored Research Advisory Committee and the Faculty Senate. The AVP will submit the proposal to the Provost.
- d. Secure approval of the Provost, who submits to the President for review.

- e. Secure approval of the President for establishment of the UWF institute or center. The President will subsequently inform the Board of Trustees and, thereafter, the Office of Academic and Student Affairs at the Board of Governors within 30 days of final University approval.

3. Reporting and Evaluation/Review Requirements

A formal review shall be conducted at least once every seven years to determine if a University institute or center should be continued, or should be classified as inactive, should be discontinued, or should apply for classification as a State of Florida institute or center. The review shall include:

- a. An assessment of the institute or center's progress against defined goals and objectives within the contest of the institute or center's mission, the University's mission and strategic plan, and the Florida Board of Governors' Strategic Plan;
- b. An assessment of the return on investment of State dollars, if applicable;
- c. The need for continuation of the institute or center;
- d. Possible changes in mission or organizational structure;
- e. Budget reduction or expansion;
- f. Recommendations for change of classification (State of Florida institute or center, or University institute or center), if applicable; and
- g. Recommendations for status change (active, inactive, terminated), if applicable.

4. Disbanding a UWF Institute or Center

The following procedures will be used to disband a UWF Institute or Center:

- a. The institute or center director or other University administrator with oversight responsibility notifies the Provost. The Provost reviews the request and recommends the disbanding to the President. The President informs the Board of Trustees and submits a formal notice to the Office of Academic and Student Affairs at the Board of Governors within 30 days of the final University approval.
- b. In the event that a disbanded institute or center has been funded by the Legislature, the University must provide documentation to ensure that Legislative intent has been achieved and that the institute or center is no longer required. Fiscal information must be provided as part of the annual reporting process if the institute or center expends any funds during the fiscal year in which it is disbanded.

C. Initial Reporting Requirements for All Institutes and Centers

The host university shall provide the following basic information to the Florida Board of Governors' Office of Academic and Student Affairs upon the establishment of each institute or center. The initial reporting shall include at a minimum the following information, which will be updated in each subsequent annual report:

1. The name of the institute or center.
2. The name of the host university.
3. The primary discipline(s) with which the institute or center is affiliated.
4. An indication of whether the institute or center receives a specific appropriation from the Legislature.
5. The name of the director of the institute or center.
6. Contact information, including the mailing address; telephone and fax numbers; the institute or center's website; and the e-mail address for the director.
7. A list of institutions of higher education affiliated with the institute or center.
8. The mission of the institute or center.
9. Key terms that identify the primary foci of the institute or center.
10. Estimated total funds to be expended by the institute or center in the next fiscal year (or current year, if mid-year proposal) by funding source and by entity.
11. Estimated total positions to be allocated to the institute or center for the next fiscal year (or current fiscal year, if mid-year proposal) by funding source and type of position.

D. Annual Reporting Requirements for All State and UWF Institutes and Centers

All State and UWF institutes and centers shall complete an annual report in the format required by the Board of Governors or the Chancellor.

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Martha Saunders
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Approved by: _____
Dr. Martha D. Saunders

Date: 05/04/2023

Authority: Florida BOG Regulation 10.015

Cross Ref.: None

History: Created July 2008; revised May 2023

Last Review: May 2023