

UNIVERSITY POLICY

AC-05.00- 07/08

TO: University of West Florida Community

FROM: Dr. Judith Bense, Interim President

SUBJECT: Institutes and Centers

Responsible Office/Executive: Division of Academic Affairs;  
Dr. Chula King, Provost

Policy/Purpose: To establish local UWF 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 The University of West Florida. This policy is based on the requirements of the Florida Board of Governors, Office of Academic and Student Affairs, as outlined in the Policy Guideline 04.07.27 (available on the UWF Web site at <http://research.uwf.edu/InstitutesCenters/default.htm>). These Policy Guidelines provide a description of the characteristics and requirements regarding (1) a State of Florida Institute or Center and (2) a University Institute or Center. These guidelines apply to all officially designated research and service institutes/centers at the University. There are entities that use the term "institute" or "center" in their name which are excluded from this policy because they provide an administrative service, or strictly supportive academic function (e.g., Academic Technology Center; advising centers; Center for Fine and Performing Arts; Center for University Teaching, Learning and Assessment; International English Center, etc.).

Templates and forms referred to herein are available from the University's Office of Research and Sponsored Programs.

## I. STATE OF FLORIDA INSTITUTE OR CENTER

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

### A. Characteristics of a State of Florida Institute or Center are:

- I. Has a statewide mission.
2. Includes two or more State universities.
3. Must be approved by the Florida Board of Governors.
4. Has a Memorandum of Understanding among the presidents or their designees from all participating universities and the Chancellor or designee that specifies the host institution and outlines operational procedures for the institute or center.
5. Has an advisory board with membership as designated in the Memorandum of Understanding.
6. Has a separate unit account in the host university's operating budget.
7. May spend State funds appropriated to the institute or center according to Legislative and/or university decisions.
8. 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).

### B. Establishment of New State of Florida Institutes and Centers

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

- I. Prepare an application for establishment of the institute/center. The application for a State of Florida Institute or Center will include:
  - a. A concept paper describing the purposes and activities of the proposed institute/center and how the proposed institute/center supports established priorities of the department, college, university, and Board of Governors (see Template for State of Florida Institute/Center Concept Paper).
  - b. Signature Page (Form 1A)
  - c. Directory Information (Form 1B)
  - d. Estimated Expenditures for the Institute/Center (Form 1C)

e. Draft of Memorandum of Understanding (See template for MOU)

f. Legislative Budget Request (if applicable)

2. Secure recommendation of the appropriate Dean(s) and submit to the Associate Vice President for Research.
3. 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.
4. Secure approval of the Provost, who submits to the President for review.
5. Secure approval of the President, who will subsequently submit the proposal for approval by the Board of Trustees. 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.

### C. 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:

- I. An assessment of each institute or center's progress against defined goals and objectives within the context of the institute or center's statewide mission and the Florida Board of Governor's Strategic Plan.
2. An assessment of the return on investment of State dollars, if applicable.
3. An evaluation of performance-based outcomes, including a description of how assessment data have been used to inform and improve the operation of the institute or center.

Issues to be addressed during the review may include the need for continuation of the institute or center: possible changes in mission or organizational structure; budget reduction or expansion; and/or a recommended change of classification from a State of Florida institute or center to a University institute or center. In addition, the institute/center will complete a UWF annual report according to guidelines and timelines established by the Provost.

#### D. Disbanding a State of Florida Institute or Center

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

- I. 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.
2. 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.

#### II. 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.

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

1. Has a local or regional mission and is generally established in a single institution.
  - Must be approved by the UWF Board of Trustees.
3. May expend State funds appropriated to the institute or center according to Legislative and/or university decisions.
4. May expend "other" funds (e.g., fees; contracts and grants)

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

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

- I. Prepare an application for establishment of the institute/center. The application for a University of West Florida Institute or Center will include:
  - a. A concept paper describing the purposes and activities of the proposed institute/center and how the proposed institute/center supports established priorities of the department, college, and university (see Template for a University of West Florida Institute/Center Concept Paper).
  - h. Signature Page (Form 2A)

- c. Directory Information (Form 2B)
  - d. Estimated Expenditures for the Institute/Center (Form 2C)
  - e. Draft of Memorandum of Understanding (See template)
2. 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.
  3. 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.
  4. Secure approval of the Provost, who submits to the President for review.
  5. Secure approval of the President for establishment of the UWF institute or center. The President will subsequently submit notice of approval to the Board of Trustees and, thereafter, to the Office of Academic and Student Affairs at the Board of Governors.

### C. 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:

1. An assessment of the institute or center's progress against defined goals and objectives within the context of the institute or center's mission, the university's mission and strategic plan, and the Florida Board of Governor's Strategic Plan.
2. An assessment of the return on investment of State dollars, if applicable.
3. A description of how assessment data have been used to inform and improve the operation of the institute or center.

Issues to be addressed during the review may include the need for continuation of the institute or center, possible changes in mission or organizational structure, budget reduction or expansion, or reclassification of the institute or center. In addition, the institute or center will complete a UWF annual report according to guidelines and timelines established by the Provost.

#### D. Disbanding a University Institute or Center

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

- I. 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 notice to the Office of Academic and Student Affairs at the Board of Governors.
2. 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.

### III. 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:

- A. The name of the institute or center.
- B. The name of the host university.
- C. The primary discipline(s) with which the institute or center is affiliated.
- D. An indication of whether the institute or center receives a specific appropriation from the Legislature.
- E. The name of the director of the institute or center.
- F. Contact information, including the mailing address; telephone and fax numbers; the institute or center's Web site; and the e-mail address for the director.
- G. A list of institutions of higher education affiliated with the institute or center. I
  - l. The mission of the institute or center.
  - l. Key terms that identify the primary foci of the institute or center.
  - .l. 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.

- K. Estimated total positions to be allocated to the institute or center for the next fiscal year (or current year, if mid-year proposal) by funding source and type of position.

#### IV. ANNUAL REPORTING REQUIREMENTS FOR ALL INSTITUTES AND CENTERS

All institutes and centers shall complete an annual report as required by the Board of Governors and a UWF annual report. A.

##### Board of Governors Annual Report

No later than September 30 of each year, each provost or his or her designee shall review the inventory of authorized institutes and centers to determine the accuracy of information that is maintained by the Office of Academic and Student Affairs at the Board of Governors prior to request of the annual report, report updates or changes to the information included in the initial report (see above). Additionally, a report of actual and estimated expenditure and position data, as well as evaluation/review information, shall be submitted for all institutes and centers that are approved for all or part of a given fiscal year (July 1-June 30):

1. Total funds expended during the previous fiscal year by funding source (State Appropriation to the State University System, Contracts and Grants, Fees for Services, and Private & Other Funds) and by entity (Education and General).
2. Total positions during the previous fiscal year by funding source and type of position.
3. Date of the last evaluation/review.

##### B. UWF Annual Report

Each institute and center shall complete an annual report according to guidelines and timelines established by the Provost. This report shall include a description of accomplishments related to defined goals and objectives, assessment data collected to determine if the goals and objectives were met, and use of assessment results to improve the programs or operations of the institute or center.

Approved By: Dr. Judith Bense, Interim President

Date: 7/11/08