

	Florida Gulf Coast University Policy Manual	Policy: 2.001 FKA-2-11
	Centers and Institutes	Responsible Executive: Provost and VP Academic Affairs Responsible Office: Research and Sponsored Programs <u>Graduate Studies</u>

A. POLICY STATEMENT

Centers and Institutes (“Centers/Institutes”) constitute an important element in furthering Florida Gulf Coast University’s (“FGCU”) mission of learning, engagement, and scholarship by providing a specialized ~~h~~focus of activity that contributes to the fulfillment of ~~college~~ University goals and objectives. Centers and Institutes ~~can~~ serve the role of ~~crucible-incubator~~ where innovation may be ~~forged~~ cultivated and ~~leading~~ to the creation of new knowledge.-

~~Center and Institute activities may take the form of sponsored research, intra or inter-institutional research, service, or training activities that complement existing unit based instruction, scholarship or service programs. Such entities provide an interface for faculty-student-public collaboration and contribute to the economic and social well being of the region, the State of Florida, and beyond.-~~

Centers/Institutes are organized structures that focus on domains of knowledge that reside within a discipline or are cross-disciplinary in scope. Centers/Institutes may be established to develop new areas of research, encourage cross-disciplinary and multidisciplinary approaches to teaching and scholarship, provide a more relevant focus for services, and promote the sharing of resources. These structures strengthen the University’s credibility to funding agencies as well as to other external sponsors. Centers/Institutes provide an interface for faculty-student-public collaboration and contribute to the economic and social wellbeing of the region, the State of Florida, and beyond.

To serve the diverse needs of the University, the emphasis of individual Centers/Institutes may vary. Centers/Institutes at FGCU may conduct different activities such as research service, training, etc. Each Center/Institute will be evaluated based on its performance in line with the vision, mission, and goals of the University and the Florida Board of Governors (“BOG”). This ~~p~~Policy sets forth the conditions and process by which FGCU will establish, review, and ~~disestablish~~ evaluate Centers/~~and~~ Institutes. The ~~Florida Gulf Coast University~~ FGCU Board of Trustees (“BOT”) has authorized the President to develop and implement “University Institutes and Centers.” ~~university centers and institutes~~

A.B. REASON FOR POLICY

This ~~p~~Policy is necessary to comply with ~~Board of Governors (“BOG”)~~ Regulation 10.015, Institutes and Centers, which provides ~~and to provide~~ a consistent set of criteria and procedures that will allow for the formal approval ~~and review of proposals~~ to establish Centers/Institutes at FGCU with periodic review and evaluation. By so doing, FGCU will

ensure that all Centers/~~and~~ Institutes operating under its auspices are viable, sustainable, and accountable for achieving their respective missions, and capable of fulfilling their stated ~~purposes~~ vision and goals, ~~and are accountable for the ongoing achievement of their respective missions.~~

C. DEFINITION OF TERMS

~~Centers and/or Institutes (Centers/Institutes) are organized structures that focus on domains of knowledge that reside within a discipline or are cross-disciplinary in scope. Centers/Institutes may be established to develop new areas of research, encourage cross-disciplinary and multidisciplinary approaches to teaching and scholarship, provide a more relevant focus for service, and promote the sharing of resources. These structures strengthen the University's credibility to funding agencies as well as to other external sponsors.~~

~~There are two types of Centers/Institutes:-~~

- ~~1. **State of Florida Institute or Center:** An entity with a statewide mission, that may include two or more state universities, established to coordinate inter-institutional research, service, and teaching across the State University System. State of Florida institutes and centers must be approved by the Board of Governors. State of Florida institutes and centers' operational budgets reside within the bases of their host institutions; additional budget requests must be reviewed by the CAVP, and only those with a positive recommendation are carried forward to the BOG for consideration.~~
- ~~2. **University Institute or Center:** An entity that is generally established by a single university to coordinate institutional research, service, and/or educational/training activities that enhance existing instruction, research, and service at the universities. The budget of a university institute or center and any requests for additional funding are wholly within the purview of the host university.~~
1. *Annual Report:* The report that documents activities and the financial condition of the Center/Institute during the past fiscal year as well as recommendations made by the Center/Institute's External Advisory Board. The report must be submitted by the Center/Institute Director to their Dean/supervisor and to the Associate Vice President for Research and Dean of Graduate Studies ("AVPR") no later than the second Monday of September each year.
2. *Annual Review:* A yearly review to evaluate the performance, productivity, and Annual Report of a Center/Institute. The Dean or Division/Unit Head will conduct an initial review on Centers/Institutes that report to him or her and submit his or her recommendation to the AVPR. The recommendation will be shared with the Faculty Senate Grants and Research Team (GRT), which subsequently conducts its Annual Review and makes its recommendation to the AVPR. The AVPR will review and make his or her independent recommendation on the status to the Provost.
3. *Center:* A subordinate unit within an existing department, college, or institute.

Interdisciplinary Centers may report to the Provost and Vice President for Academic Affairs (“Provost”), Provost’s designee, or President. Centers should make a significant contribution to the major academic unit of which they are a part. A Center, sometimes one of several to form an Institute, furthers research, scholarly/creative activities, and public service in a designated field; or primarily provides facilities and resources for other departments and units.

4. Continuation: The status recommended for an achieving and performing Center/Institute that successfully passes its Annual Review. The final decision resides with the Provost.
5. Disestablishment: The status recommended for a Center/Institute that fails to pass its Annual Review or receives the status of “Probation” twice in five consecutive years. The final decision resides with the Provost.
6. Five-Year Review: Similar to the Annual Review process, a five-year comprehensive review is conducted to evaluate the overall performance, productivity, viability, accountability, etc. of the Center/Institute. The Five-Year Review may lead to renewing the Center/Institute, modifying the Center/Institute’s vision, mission and/or goals, or sunsetting the Center/Institute as the need or resources dictate.
7. Institute: A distinct unit of substantial size that may engage in a wide variety of research, scholarly/creative activities, public service, and instructional activities, typically in areas of broad concern. Institutes are frequently interdisciplinary and embrace ideas and personnel from various departments, colleges, and schools. An Institute is a major unit that coordinates and promotes faculty and student research and scholarly/creative activities on a continuing basis over a wide area that extends across department(s), college(s), and perhaps beyond campus boundaries. An Institute may also engage in public service activities within the limits of its stated objectives.
8. Probation: The status recommended for a Center/Institute that fails to perform and/or to fulfill its vision, mission, and/or goals in its Annual Review. The final decision to place a Center/Institute on Probation resides with the Provost.
9. Renewal: The status recommended for an achieving and performing Center/Institute that successfully passes its Five-Year Review. The final decision resides with the Provost.
10. Sunset: The status recommended for a Center/Institute that fails to pass its Five-Year Review. The Center/Institute Director, Dean or Division/Unit Head, AVPR, or Provost may choose to terminate a Center/Institute due to the completion of the Center/Institute’s mission or lifecycle, the lack of resources to support it, a change in societal interests, etc. The final decision resides with the Provost.

D. PROCEDURES

~~The conception for a Center or Institute can arise from a variety of sources, including:~~

- ~~• Faculty within a division or department in a single college~~ Faculty from several colleges or divisions within a college who share a common interest(s)
- ~~• A dean or several deans~~
- ~~• The Provost and Vice President for Academic Affairs~~
- ~~• The President~~

Detailed processes and conditions to establish and review a Center/Institute are described in “Guidelines on Establishing and Reviewing Centers and Institutes at FGCU,” which can be found on the Office of Research and Graduate Studies’ website.

1. Conditions to Establish

In summary, a Center/Institute must:

- a) Align its vision, mission, and goals with the vision, mission, goals, and strategic plans of FGCU and the BOG;
- b) Have a critical mass of faculty and staff to attain its vision, mission, and goals;
- c) Be led by a qualified and competent director;
- d) Have adequate resources and space to operate; and
- e) Demonstrate viability, accountability, continuity, and quality.

In no case may a Center/Institute be operated in the absence of approval from the Provost or President. Once a Center/Institute is formally established, the Center/Institute Director, in accord with established procedures, must submit an application to the AVPR for any proposed change to the name, vision, mission, or goals of the Center/Institute. In certain instances, state approval may also be necessary.

2. Review Process

Following the establishment of a Center/Institute, an Annual Review and a Five-Year Review will take place according to the procedures described in the *Guidelines on Establishing and Reviewing Institutes and Centers*, found on the Office of Research and Graduate Studies website. As a result of the Annual Review, a Center/Institute will be granted the status of “Continuation,” “Probation,” or “Disestablishment.” The result of a Five-Year Review can be either “Renewal” or “Sunset.”

3. Disestablishment or Sunset

The decision to disestablish or Sunset a Center/Institute may originate from the Director of the Center/Institute, Dean(s) or Division/Unit Head to whom the Center/Institute Director reports to, the Provost or Provost’s designee, or the President. A final determination as to the status of a Center/Institute resides with the Provost and/or

President.

E. APPEAL PROCESS

1. In the event the request to establish a Center/Institute is denied or a Center/Institute is recommended for Disestablishment or Sunset, the Center/Institute Director may appeal through the Dean or Division/Unit Head, who is responsible for submitting the appeal file to the AVPR. The Center/Institute Director must submit a detailed letter of request for appeal to his or her Dean or Division/Unit Head for initial review and approval. The letter of request for appeal will then be submitted to the AVPR through the Dean or Division/Unit Head.
2. The deadline to submit the letter of request for appeal to the AVPR for establishing a Center/Institute is within sixty (60) calendar days after receiving the notice of denial from the AVPR. The deadline to submit the letter of request for appeal to the AVPR for disestablishing or sunseting a Center/Institute is the second Monday of March each year.
3. Final determination on establishing, disestablishing, or sunseting a Center/Institute resides with the Provost and/or President. The AVPR will notify the Dean and Center/Institute Director of the final determination made by the Provost.

CONDITIONS TO ESTABLISH

~~All Centers and Institutes must be housed in a college and report to a Dean. This relationship is necessary to ensure that the Center/Institute is thoroughly grounded in a firm disciplinary and support base and provides opportunities for students. Only in extraordinary circumstances will another reporting relationship be considered (e.g., reporting directly to the Provost or the President). All Centers and Institutes will be required to demonstrate they possess a clear mission aligned with the FGCU mission and strategic plan; have a critical mass of faculty and staff to support attainment of that mission; currently or potentially have resources necessary to operate for an extended period; are led by an appropriately qualified director or co-directors; have adequate space to operate; and have established appropriate accountability mechanisms. The process by which FGCU will determine these conditions are met (and continue to be met after initial approval) is described in the attached document. In no case may a Center or Institute be established and operate in the absence of Presidential approval. Once established, no Center or Institute will change its name or purpose without first receiving formal approval by the President. In certain instances, state approval may also be necessary. Please consult with the Office of Research and Sponsored Programs.~~

REVIEW PROCESS

~~Following the establishment of a Center or Institute, periodic reviews will occur as the following needs dictate:~~

~~State reporting/review requirements Decanal accountability reviews Provost accountability reviews~~

~~Specialized or regional accreditation demands Presidential reviews~~

~~DISESTABLISHMENT~~

~~All Centers and Institutes follow a lifecycle that eventually leads to change or disbandment as societal interests change or resources dictate. The decision to disband may originate from those directly affiliated with the Center or Institute, the dean or deans to whom the Center or Institute report, the Provost, or the President. The results of reviews described above may also lead to a decision to disband if the viability or relevancy of the Center or Institute is called into question. A decision to disband must follow procedures established by the Office of Research and Sponsored Programs.~~

Related Information

Specific Authority

[BOG Regulation 10.015](#)

History of Policy

New 04/27/2004; Amended 10/19/04, 11/08/05, 01/21/09, _____

~~APPENDICES~~

~~See attached "Guidelines on Establishing and Reviewing Centers and Institutes at Florida Gulf Coast University".~~

APPROVED

Michael V. Martin, President

Date

Guidelines for Establishing a BOG Approved Institute/Center at Florida Gulf Coast University

Introduction

In accordance with Florida Board of Governors (BOG) Regulation 10.015, Florida Gulf Coast University (FGCU) has established the following guidelines for developing a Center and/or Institute.

Centers and Institutes focus on domains of knowledge that reside within a discipline or are cross-disciplinary in scope. These are organizational mechanisms that can be used to provide greater depth in teaching and/or research to a narrower band of problems within a discipline, or to apply a broader vision to problem sets that cross traditional knowledge boundaries. Centers and Institutes may help to develop new areas of research that are interesting to the faculty and relevant to external constituencies, encourage cross-disciplinary and multidisciplinary approaches to teaching and research, provide more relevant focus for service to external constituencies, and promote the sharing of resources. Center/Institute status provides visibility for, and tangible evidence of, a formalized structure for an activity that strengthens its credibility to funding agencies as well as to other external sponsors.

Center/Institute Authorization

It is appropriate and desirable to create a Center/Institute when the resources are available and when the establishment of such is consistent with the mission and long range plans of a college and the University. The various academic units should be selective in creating new Institutes/Centers. Toward this end, a review and approval process has been established by the University that complements the BOG Regulation 10.015 and assures that the University is fully aware and supportive of the proposed activity.

The initial step in the review and approval process for establishment of an Institute/Center is the approval of the respective chairs and deans. After department and college reviews have occurred, the proposal should be forwarded to the Office of Research and Sponsored Programs. The proposal shall be reviewed to assure conformity to BOG regulation and procedures. Should the proposal be in compliance with the aforementioned it will be forwarded to the Grants & Research Team of the Florida Gulf Coast University Faculty Senate for review and recommendation to the Provost and Vice President for Academic Affairs (VPAA). The VPAA shall determine if the proposed Center/Institute is in the best interest of the University and will present the proposal to the President's Cabinet for consideration. The President shall make the final determination regarding the approval of a University Institute or Center. A copy of an approved new university institute or center proposal containing basic descriptive, contact, and fiscal information shall be submitted to the Board of Governors Office of Academic and Student Affairs. In addition, annual reports must be submitted to the Board of Governors, generally prior to September 30 of each year.

A State of Florida Institute or Center shall follow the same approval procedure, but must also receive approval from the University Board of Trustees and Board of Governors prior to implementation. The Provost shall prepare and submit the approved proposal to the University Board of Trustees in accordance with BOG Regulation 10.015. Upon approval of the University

~~Board of Trustees the proposal shall be submitted to the Board of Governors Office of Academic and Student Affairs.~~

~~Criteria Used for Assessment~~

~~The following criteria will be used for assessing Center/Institute proposals:~~

~~FGCU Specific Criteria:~~

- ~~1) The potential for the enhancement of the FGCU mission. How will establishment of the Center/Institute enhance the University mission in a manner not currently accomplished by existing programs? What unique research capabilities and opportunities would be fostered with establishment of the Center/Institute?~~
- ~~2) Appropriateness of planned administrative and organizational structure. Does the proposal outline to whom and through whom the Institute/Center reports? How and where does the Center/Institute fit in the overall FGCU structure?~~
- ~~3) The feasibility and appropriateness of the budget plan. Does the University or State of Florida Institute/Center proposal outline a reasonable expected amount of E&G funds to non-appropriated funds (contracts and grants, fees, etc.)? Does the University Institute/Center proposal illustrate the potential for acquiring non-appropriated funds not available through current grant funding efforts?~~
- ~~4) Does establishment of the Institute/Center provide FGCU with a competitive advantage in some fashion that highlights and complements the strength of our faculty/staff and our service area in general?~~
- ~~5) Is there a need for additional space and facilities? If so, is there a plan to provide more space and a timetable for doing so?~~

~~Institute/Center Reviews~~

~~Annual Reporting to BOG:~~

~~Each Institute and/or Center established at FGCU must submit an annual report via a Web based reporting system established through the BOG. The report will cover the previous fiscal year (July 1 June 30) activities. The report will be in compliance with Florida Board of Governors procedures. The Office of Research and Sponsored Programs will review submitted reports and once deemed to be in compliance with Florida Board of Governors procedures the completed annual report will be submitted to the Board of Governors utilizing the Web based reporting system.~~

~~Evaluation:~~

~~In accordance with BOG Regulation 10.015 University institutes or centers must have a formal review conducted at least once every seven years. In an effort to stay apprised of institute/center activity, establish an ongoing record of activity, and to ensure activities of an institute/center are current and fiscally sound, a formal review will be conducted annually. The formal review and evaluation will include an annual report supplement to the Web based BOG annually reporting~~

~~requirement, and will be conducted through the Grants and Research Team at FGCU. At a minimum, the review will include the criteria used for assessment and will be provided to the BOG at least once every seven years. Should the viability or relevancy of a University Center or Institute be called into question during the annual review, the Office of Research and Sponsored Programs shall consult with the Center/Institute Director to consider voluntary disbandment. The Center/Institute Director may voluntarily disband the Center/Institute and phase out related activities. Should voluntary disbandment of a Center/Institute not occur, the Provost and Vice President for Academic Affairs shall make the final determination in regard to disbandment of a University institute or center.~~

~~Board of Governor Specific Criteria Used for Assessment:~~

- ~~1) A determination of the institute or center's progress against defined goals and objectives within the context of the institute or center's mission, participating university missions, and current Board of Governor's Strategic Plan.~~
- ~~2) An assessment of the return on investment of State dollars (if applicable).~~
- ~~3) The need for continuation of the institute or center.~~
- ~~4) Possible changes in mission or organizational structure.~~
- ~~5) Budget reduction or expansion.~~
- ~~6) Recommendations for change of classification (State of Florida, Infrastructural, or University institute or center), if applicable.~~
- ~~7) Recommendations for status change (active, inactive, terminated), if applicable.~~

~~Conclusion~~

~~All information pertaining to FGCU Institutes and/or Centers shall be maintained in its Office of Research and Sponsored Programs. The Office of Research and Sponsored Programs shall be the primary contact for University faculty and staff in providing information, appropriate forms and application procedures. Please contact the Office of Research and Sponsored Programs for further information pertaining to this process.~~