FAU
BOARD OF TRUSTEES
Florida Atlantic University

Item: AS: A-2

COMMITTEE ON ACADEMIC AND STUDENT AFFAIRS

Wednesday, June 17, 2009

SUBJECT: Florida Atlantic University Regulation on Institutes and Centers

PROPOSED COMMITTEE ACTION

Recommend approval of a resolution that the proposed new Regulation 2.006, governing the criteria and guidelines for Institutes and Centers at FAU, be adopted.

BACKGROUND INFORMATION

Board of Governors Regulation 10.015(3), University Policies for Institutes and Centers, states that the University Board of Trustees must adopt policies for establishing, operating, evaluating, reviewing and disbanding university institutes and centers in accordance with Board of Governors criteria. Proposed Regulation 2.006 responds to this requirement and provides university guidelines for the establishment, operation, evaluation, review and dissolution of centers and institutes at Florida Atlantic University in conformity with the BOG regulation.

IMPLEMENTATION PLAN/DATE

Regulation 2.006 will be implemented upon approval of the Board of Trustees.

FISCAL IMPLICATIONS

None

Supporting Documentation Proposed FAU Regulation 2.006

Other Documentation Available: BOG Regulation 10.015

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BOG Regulation 10.015 Institutes and Centers

(1) In order to ensure that institutes and centers implemented within state university system are of the highest quality, enhance existing university activities, and are aligned with the goals of the Board of Governors, the following criteria and guidelines for institutes and centers are established.

(2) **Definitions -** Within the context of these regulations, institutes and centers are defined as follows:

(a) **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 Board of Governors for consideration.

(b) **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.

(c) **Exclusions:** There are entities that use the term "Institute" or "Center" in their titles, as well as some other service units, that are excluded from this policy. Examples of these units include the Institute of Food and Agricultural Sciences (IFAS); the University of Florida Health Sciences Center; the University of South Florida Health Sciences Center; the Florida State University Health Sciences Center; the Florida Mental Health Institute; incorporated institutes and centers with university affiliations, such as the Institute for Human and Machine Cognition and the H. Lee Moffitt Cancer Center and Research Institute; and university advising, student health, computing, and certain other centers. However, entities such as IFAS and the health sciences centers may have institutes or centers under their purview that are covered by the policies referenced in this document.

(3) **University Policies for Institutes and Centers** - The University Board of Trustees must adopt policies for establishing, operating, evaluating, reviewing, and disbanding university institutes and centers in accordance with Board of Governors criteria. University policies shall specify whether the university president or provost has been designated by the trustees to grant authorization for the development and implementation of university institutes and centers. A

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current copy of university institute and center policies shall be on file in the Office of Academic and Student Affairs in the Board of Governors office.

(4) **Establishment of Institutes or Centers –**

(a) To establish a State of Florida Institute or Center**,** the provost of the host university shall prepare and submit a proposal to the board of trustees of the host university for approval. Approved proposals shall be submitted to the Office of Academic and Student Affairs in the Board of Governors office.

1. The proposal shall specify the purpose of the organization, the need and demand to be a State of Florida institute or center, consistency with the Board of Governors Strategic Plan, and funding resources. The proposal shall also include a draft of the proposed Memorandum of Understanding, which has been ratified by the presidents of all affiliated institutions. The Memorandum of Understanding shall contain, at a minimum:

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 numbers;

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/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 and other planning and expectations for its operation.

(b) After review by Board of Governors staff the proposal will be forwarded to the Council of Academic Vice Presidents for approval and recommendation to the Chancellor. The Chancellor would then determine whether or not this proposal should be carried forward to the Board of Governors. Any institute or center must receive full approval from the Board of Governors prior to implementation to receive State of Florida status.

(c) University institutes and centers shall be established in accordance with university policy. A copy of an approved new university institute or center proposal containing basic descriptive, contact, and fiscal information shall be submitted to the Office of Academic and Student Affairs. In cases where more

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than one university is participating, a host university is designated to handle reporting and evaluation of the institute or center.

(5) **Institute and Center Reporting Requirements -**

(a) The Office of Academic and Student Affairs in the Board of Governor's Office shall provide an online Institute and Center Reporting database, which will also serve as the official inventory of approved State University System Institutes and Centers.

(b) Initial Reporting – Upon receipt of notification that a record has been created for the institute or center in the Institute and Center Reporting database, the host university shall enter descriptive and budgetary information in accordance with instructions provided by the Office of Academic and Student Affairs.

(c) Annual Reporting - No later than September 30 of each year actual and estimated expenditure and position data shall be entered in the database for the fiscal year running from July 1 of the previous year to June 30 of the current year, in accordance with instructions provided by the Office of Academic and Student Affairs. Prior to submission to the Office of Academic and Student Affairs in the Board of Governors office, all annual reporting information must be approved by the Board of Trustees of the host university or its designee.

(d) Evaluation / Review – Copies of all evaluation/review information shall be submitted to the Office of Academic and Student Affairs in the Board of Governors office.

1. State of Florida institutes and centers shall be reviewed based on criteria and procedures established below and within the Memorandum of Understanding. External consultants may be used in the review process. At a minimum, each State of Florida institute or center shall be reviewed every five years by the host institution. A copy of the review will be provided to the Council of Academic Vice Presidents to inform any related budget recommendations.

2. University institutes and centers must be reviewed according to university institute and center policies. A formal review shall be conducted at least every seven years.

3. At a minimum, all evaluations/reviews 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 participating university missions, and the current 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;

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f. Recommendations for change of classification (State of Florida, Infrastructural, or University institute or center), if applicable; and

g. Recommendations for status change (active, inactive, terminated), if applicable.

(6) **Disbanding an Institute or Center –** University institutes and centers shall be disbanded at the request of the host university with the agreement of participating universities. State of Florida institutes and centers shall be disbanded at the recommendation of the Council of Academic Vice Presidents and upon the approval of the Board of Governors. When an institute or center is disbanded, the host university shall notify the Office of Academic and Student Affairs in the Board of Governors office. If 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.

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Florida Atlantic University

Regulation 2.006 Institutes and Centers

(1) PURPOSE. Florida Board of Governors (BOG) Regulation 10.015 sets forth the criteria and guidelines for both State of Florida and state university Institutes and Centers. It requires each state university to develop and publish clearly defined guidelines consistent with BOG policies for establishing, operating, evaluating, reviewing and disbanding university institutes and centers. This regulation responds to this requirement and provides university-wide guidelines for the establishment, operation, and review of university institutes and centers. This regulation is designed to facilitate the formation of new centers or institutes and to assist in the management and review of those existing. The Provost is hereby authorized to grant authorization for the development and implementation of Florida Atlantic University institutes and centers. The "Exclusions" section of BOG Regulation 10.015 identifies other units that may be referred to as "Institutes" or "Centers", whose purpose is to provide services to the university community (for example, day care centers, teaching or learning centers, computer centers). Such units are not to be considered "centers" for the purposes of this Regulation.

(2) DEFINITIONS.

A. An **institute** is an organized research, service, and/or educational unit established on a continuing basis primarily for the coordination and promotion of interests organized around a broad subject area. Normally, the breadth of projects and programs transcends department, school, college, or even campus boundaries. In general, an institute will have a much broader mission and a wider set of goals and objectives than a center, and usually will involve a greater interdisciplinary and inter-institutional involvement of faculty.

B. A **center** is analogous to an institute but is more limited in scope. A center is (i) an organized unit that serves a specific purpose within an institute, or (ii) a unit that provides specialized capabilities to further research, or enhance instruction or the delivery of services.

C. A **University Institute or Center** is an institute or center that has been formally recognized as a Florida Atlantic University Institute or Center pursuant to this regulation. It is important to distinguish between formally established institutes and centers and other units of a less formal nature. In order to request approval and formal designation as an institute or center, a unit must have two or more members, one of whom must be a faculty member who is formally assigned to and compensated for work in the institute or center. A unit that has not been approved to use the formal designation "institute" or "center" should not represent itself as such.

D. A **State of Florida Institute or Center** is 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. Those interested in State of Florida Institutes or Centers should see the BOG Regulation 10.015.

(3) GUIDELINES. Procedures for establishing, operating, evaluating, reviewing, and disbanding University institutes and centers, in accordance with BOG criteria and this regulation, are recommended for review by the Vice President for Research and approval by the Provost. They are published on the Division of Research web site. These guidelines pertain to both existing and future University institutes and centers.

A. Establishment. Those seeking to establish institutes or centers at FAU are advised first to meet with the leadership (Director, Department Chair, Dean) of the host unit in which the new organization will be based in order to review the information required, the proposal format, and the approval process. All submissions will be made through the respective chairs, directors, deans or campus executive officers, as appropriate, to the Vice President for Research. The Vice President for Research will review all proposals and make a recommendation for their disposition to the Provost, who will make the final decision. More detailed procedures can be found at http://www.fau.edu/research/centers.php. A copy of an approved new university institute or center proposal containing basic descriptive contact and fiscal information shall be submitted to the BOG's Office of Academic and Student Affairs. In cases where more than one university is participating, a host university is designated to handle reporting and evaluation of the institute or center.

B. Operations and oversight. Day-to-day management and leadership of an institute or center fall to its Director. It is the Director's responsibility to ensure that the institute or center conducts research, provides services where appropriate, and otherwise meets its goals, objectives and mission. Oversight of an institute or center shall be determined by the Provost and may be by the institute or center's next-level of authority (Department Chair, Dean, or Provost as appropriate).

C. Evaluation and Review. Institutes or centers are evaluated and reviewed according to the schedule and procedures of the unit in which they are embedded (the department, college, or other university entity), but no less than every seven (7) years. At a minimum, all evaluations and reviews shall include those items listed in BOG Regulation 10.015(5) (d) (3), as well as the following:

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 participating university missions, and the current BOG'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, Infrastructural, or University institute or center), if applicable; and

g. Recommendations for status change (active, inactive, terminated), if applicable.

D. Dissolution. Disbanding a University institute or center involves closing out the budget for the unit, transferring budget lines within the unit to the appropriate place(s), and disbursing equipment and facilities as appropriate. These tasks will be the responsibility of the Department Chair or Dean, as appropriate for the organization in question. The college or other unit within which the institute or center is located must notify the Provost of the dissolution. The requirements in BOG Regulation 10.015(6) shall be followed, including notifying the Office of Academic and Student Affairs in the BOG Office.

E. Change of status. BOG Regulation 10.015 distinguishes between "State" institutes and centers and "University" institutes and centers. All institutes and centers at Florida Atlantic University shall first be established as "University" organizations. Their elevation to "State" status shall be governed by procedures specified by the BOG through Regulation 10.015 and other applicable authorities.

Specific Authority: Florida Board of Governors Resolution dated January 7, 2003; Florida Board of Governors Regulation 10.015. History: New – __-__-2009.