

# ADMINISTRATIVE MEMORANDUM

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**SUBJECT:** Revised Policies and Procedures for the  
Planning and Development of Research  
Institutes and Centers in The University  
of North Carolina

**NUMBER:** 145

**DATE:** January 12, 1981

## Introduction

In Long-Range Planning, 1978-1983 the Board of Governors directed that a review of all existing institutes and centers be undertaken to the end that the function, scope, and organizational location of each be defined and recorded for the Board. The results of the review are included in the Research and Public Service sections of Long-Range Planning, 1980-1985.

In the course of this review it became evident that there is a need to differentiate among those organizations in The University which are dedicated primarily to research and those which have public service as their primary mission. The value of this distinction will be to improve the estimates of the scope of The University's activity and investment in each of these important areas and to enhance the planning and conduct of research and public service activities as integral parts of the over-all mission of The University of North Carolina.

Policies, procedures, and organizations devoted to public service are discussed in the public service section of Long-Range Planning, 1980-1985, Chapter IV.

Policies and procedures for the planning and development of research institutes and centers are set forth in the following sections:

### 1. Definition

A research institute or center is a formal organization which has research as its primary mission. A research institute or center may also provide instructional or public service programs, but such units do not have jurisdiction over academic curricula. They may offer courses in cooperation with academic units.

### 2. Scope

Research institutes and centers may be either institutional or interinstitutional in scope. They may include the participation of other institutions, agencies, or organizations, such as the Research Triangle Institute, other colleges and universities, industry, foundations, or governmental bodies.

Research institutes and centers should avoid unnecessary duplication. Each unit shall seek to differentiate its research from other units, to develop complementary research activities, and, where possible, to make its facilities available to qualified staff members from other constituent institutions. The creation of a research institute or center is not appropriate and will not be authorized if its research goals are essentially the same as those of an existing department or school.

### 3. Authority

Research institutes and centers shall be established or discontinued by the Board of Governors, acting upon recommendation of the President who shall seek the advice of the Chancellor of the constituent institution or institutions involved.

### 4. Purpose

Research institutes and centers may be established within The University to contribute to the general objectives of The University and, in particular, to strengthen programs of research and instruction conducted by the faculty, as well as to provide graduate and postdoctoral students with added research opportunities, facilities, and assistance. Facilitation of public service activities related to The University's research programs may be an associated objective of some units.

### 5. Funding

The activities of a research institute or center may be funded from State appropriations, or from extramural funds sought for that purpose, or both.

### 6. Lines of Responsibility

A research institute or center serving a single institution is administratively responsible to the Chancellor or, by his delegation, to another officer. Inter-institutional units are responsible to the President on policy and interinstitutional coordinating matters and report through a Chancellor to whom the President has delegated responsibility and authority to act for him. The President, however, retains ultimate responsibility for matters of general policy and intercampus coordination. The Director or Associate Director of a unit of an interinstitutional institute or center located on a particular campus is responsible for administrative purposes to the Chancellor of that constituent institution.

### 7. Procedures for Establishing a Research Institute or Center

#### a. Authorization to Plan a Research Institute or Center

To establish a new research institute or center, the Chancellor or Chancellors concerned shall first submit to the President a request for authorization to plan the institute or center. This may be accomplished by a letter to the President including a statement (1) relating the proposed center or institute to the mission of the institution or of The University, (2) outlining the goals and objectives and organization of the proposed unit, (3) explaining why these goals and objectives cannot be achieved within the existing institutional and University structures, (4) providing information about any similar units which exist elsewhere in The University and the State and any proposed relationships with them, and (5) indicating the sources and amount of funds required to initiate the research

institute or center if authorized. If the proposed research institute or center is to be included as a component of a grant or contract application for support from an external agency, then authorization to plan must be received prior to submission of the application to the external agency. Authorization to plan an institute or center shall be valid for a period of two years.

b. Authorization to Establish a Research Institute or Center

If the President approves the request for authorization to plan, the institution concerned shall then prepare a formal proposal to establish the unit which shall contain the following information:

- (1) The name of the proposed research institute or center;
- (2) The specific objectives and goals of the proposed institute or center;
- (3) The unit's relationships to or potential impact upon the existing academic departments, schools, institutes and centers at the proposing institution;
- (4) The name of the proposed director, and a description of any proposed advisory or directive boards;
- (5) Budget estimates for the first year of operation, projections for the following four years, and anticipated sources of funding;
- (6) A description of immediate space needs and realistic projections of future space needs;
- (7) A statement of other needs such as capital equipment and library resources;
- (8) A statement about anticipated effects of the proposed unit on the instructional programs of the proposing institution(s);
- (9) A description of the proposed unit's responsibility structure, including an organizational chart showing the relationship of the proposed unit to the existing organizations of the institution and the internal organization of the proposed unit; and
- (10) Any additional information which the institution may care to include which may bear directly upon the proposal.

If the President approves the request for authorization to establish the proposed research institute or center, he shall recommend it to the Board of Governors. The President will notify the Chancellor of the constituent institution of the decision of the Board of Governors.

8. Appointment of a Center or Institute Director

The Director of an institutional institute or center shall be appointed by the Chancellor. The Chancellor shall then report this administrative appointment to the President. If the position is that of a senior administrative officer, the Director shall be nominated by the Chancellor to the President for appointment by the President and the Board of Governors. If a faculty appointment is also involved for the Director, the regular procedures for faculty appointments should also be followed.

For interinstitutional institutes and centers, the Director shall be appointed by the Board of Governors, upon recommendation of the President after consultation with the appropriate Chancellors. Associate or Assistant Directors shall be appointed by the Director, subject to the approval of the Chancellor on whose campus the appointee will serve.

#### 9. Periodic Review of Institutional Research Institutes and Centers

Chancellors are encouraged to establish mechanisms and schedules for regular and periodic review and evaluation of all institutional research institutes and centers. Particular attention in such reviews should be paid to the correspondence between the objectives of the institute or center and the mission of the institution. Such reviews should result in recommendations regarding continuance of the unit. In situations where discontinuation of a research institute or center seems desirable then the Chancellor should forward such a recommendation to the President. If, in the President's judgment, circumstances warrant discontinuance of the unit, the President may recommend such action to the Board of Governors.

The "phase-out" period for a research institute or center which is to be discontinued shall be sufficient to permit an orderly termination or transfer of contractual obligations and an effort to find alternate employment for full-time staff. Normally, the "phase-out" period shall be no more than one year after the end of the academic year in which the decision is made to discontinue the unit.

#### 10. Reports

With each revision of the long-range plan of The University, the Director of each research institute or center shall submit a report to the President through the appropriate Chancellor or Chancellors. This report shall provide the following information:

- a. Descriptions of any organizational and personnel changes during the previous planning period;
- b. Sources and amounts (on an annual basis) of support funds;
- c. List of publications issued by the unit, including reports and reprints issued in its own covers;
- d. A description of significant research findings and any other information deemed relevant to a description of the unit's productivity; and
- e. Proposed major personnel, space, organizational or budgetary changes expected during the course of the next planning period.

#### 11. Exceptions

The Agricultural Research Service is exempt from these policies and procedures. Any other exceptions or modifications must be approved by the President.

#### 12. List of Existing Research Institutes and Centers

The attached lists of existing research institutes and centers constitute the units authorized by the Board of Governors as of January 1, 1981 (Tables 1 and 2).

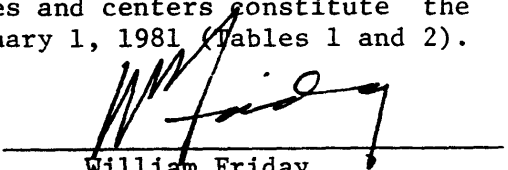
  
William Friday

TABLE 1

INTERINSTITUTIONAL RESEARCH INSTITUTES AND CENTERS  
OF THE UNIVERSITY OF NORTH CAROLINA

1. Triangle Universities Consortium on Air Pollution	Duke University North Carolina State University at Raleigh *UNC-Chapel Hill
2. Triangle Universities Nuclear Laboratory	*Duke University North Carolina State University at Raleigh UNC-Chapel Hill
3. Water Resources Research Institute	East Carolina University *North Carolina State University at Raleigh UNC-Chapel Hill UNC-Wilmington
4. Sea Grant College Program	East Carolina University *North Carolina State University at Raleigh UNC-Chapel Hill UNC-Wilmington
5. North Carolina Agricultural Research Service	North Carolina A & T State University *North Carolina State University at Raleigh UNC-Greensboro
6. Highlands Biological Station	Duke University North Carolina State University at Raleigh UNC-Chapel Hill Wake Forest University *Western Carolina University
7. Institute for Transportation Research and Education	The University of North Carolina
8. Triangle Semiconductor Research Center	Research Triangle Institute Duke University *North Carolina State University at Raleigh UNC-Chapel Hill
9. Energy and Environmental Engineering Research Laboratory	Research Triangle Institute Duke University *North Carolina State University at Raleigh UNC-Chapel Hill

\* Institution that serves as administrative unit.

TABLE 2

INSTITUTIONAL RESEARCH INSTITUTES AND CENTERS AT CONSTITUENT INSTITUTIONS  
OF THE UNIVERSITY OF NORTH CAROLINA

APPALACHIAN STATE UNIVERSITY:	BUREAU OF ECONOMIC AND BUSINESS RESEARCH
EAST CAROLINA UNIVERSITY:	BUREAU OF BUSINESS RESEARCH INSTITUTE FOR COASTAL AND MARINE RESOURCES INSTITUTE FOR HISTORICAL RESEARCH IN TOBACCO
NORTH CAROLINA AGRICULTURAL AND TECHNICAL STATE UNIVERSITY:	INSTITUTE FOR RESEARCH IN HUMAN RESOURCES ROCKWELL SOLID STATE ELECTRONICS LABORATORY TRANSPORTATION INSTITUTE
NORTH CAROLINA CENTRAL UNIVERSITY:	INSTITUTE ON DESEGREGATION
NORTH CAROLINA STATE UNIVERSITY AT RALEIGH:	CENTER FOR ACOUSTICAL STUDIES CENTER FOR COMPUTER GRAPHICS AND INTERACTIVE TECHNIQUES CENTER FOR ECONOMIC AND BUSINESS STUDIES CENTER FOR ENVIRONMENTAL STUDIES CENTER FOR OCCUPATIONAL EDUCATION CENTER FOR RURAL RESOURCE DEVELOPMENT CENTER FOR URBAN AFFAIRS AND COMMUNITY SERVICES ENGINEERING DESIGN CENTER ENGINEERING RESEARCH SERVICES DIVISION FURNITURE RESEARCH AND APPLICATIONS DEVELOPMENT INSTITUTE HIGHWAY RESEARCH PROGRAM HODGES WOOD PRODUCTS LABORATORY INSTITUTE OF STATISTICS MINING AND MINERAL RESOURCES RESEARCH INSTITUTE NORTH CAROLINA JAPAN CENTER SOUTHEASTERN PLANT ENVIRONMENT LABORATORIES SOUTHERN FOREST RESEARCH CENTER TEXTILE RESEARCH CENTER
PEMBROKE STATE UNIVERSITY:	NATIVE AMERICAN RESOURCE CENTER
UNIVERSITY OF NORTH CAROLINA AT ASHEVILLE:	MOSSBAUER EFFECT DATA CENTER
UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL:	BIOLOGICAL SCIENCES RESEARCH CENTER CANCER RESEARCH CENTER CAROLINA POPULATION CENTER CENTER FOR ALCOHOL STUDIES CENTER FOR URBAN AND REGIONAL STUDIES CLINICAL RESEARCH UNIT COMPREHENSIVE HEMOPHILIA DIAGNOSTIC AND TREATMENT CENTER DENTAL RESEARCH CENTER FRANK PORTER GRAHAM CHILD DEVELOPMENT CENTER HEALTH SERVICES RESEARCH CENTER HIGHWAY SAFETY RESEARCH CENTER INSTITUTE FOR ENVIRONMENTAL STUDIES INSTITUTE OF MARINE SCIENCES INSTITUTE FOR RESEARCH IN SOCIAL SCIENCE L. L. THURSTONE PSYCHOMETRIC LABORATORY LOUIS HARRIS DATA CENTER NORTH CAROLINA INSTITUTE FOR INVESTMENT ANALYSIS SOCIAL RESEARCH SECTION, DIVISION OF HEALTH AFFAIRS
UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE:	INSTITUTE FOR URBAN STUDIES AND COMMUNITY SERVICE
UNIVERSITY OF NORTH CAROLINA AT GREENSBORO:	CENTER FOR APPLIED RESEARCH (BUSINESS AND ECONOMICS) CENTER FOR SOCIAL SCIENCE RESEARCH AND SERVICE FAMILY RESEARCH CENTER HOME ECONOMICS CENTER FOR RESEARCH INSTITUTE FOR COMMUNICATION RESEARCH AND CONSULTING MOTOR AND SOCIAL BEHAVIOR LABORATORY
UNIVERSITY OF NORTH CAROLINA AT WILMINGTON:	INSTITUTE FOR MARINE BIOMEDICAL RESEARCH
WESTERN CAROLINA UNIVERSITY:	CENTER FOR IMPROVING MOUNTAIN LIVING COOPERATIVE PARKS STUDIES UNIT