

ADMINISTRATIVE MEMORANDUM

SUBJECT Revised Policies and Procedures for Planning,
Establishing, and Reviewing Institutes and
Centers in The University of North Carolina

NUMBER 373
DATE July 30, 1997

REPLACES ADMINISTRATIVE MEMORANDUM #145

Administrative Memorandum #373 specifies the revised policies and procedures for planning, establishing and reviewing institutes and centers in The University of North Carolina. These policies and procedures supersede those described previously in Administrative Memorandum #145.



Molly Corbett Broad

Policies and Procedures for Planning, Establishing, and Reviewing Institutes and Centers in The University of North Carolina

A. INTRODUCTION

This Administrative Memorandum defines the basic policies and procedures governing institutes and centers in the University of North Carolina. One important means to address the diverse mission of the University is through partnerships with organizations such as private or corporate sponsors, educational institutions, and federal or state agencies. A wealth of effective partnerships involving UNC institutions have been developed under the rubric of centers and institutes. Such units are usually multidisciplinary, have an important educational component, and may be established when a collection of faculty have secured long-term funding commitments to pursue unique research, public service, and/or instructional endeavors. Specific types of institutes and centers, as well as any policies or procedures pertaining to these individual categories, are defined in the Addendum to this section. The reporting format follows the addendum as Appendix 1.

The objective of this memorandum is to provide a uniform framework governing the establishment, monitoring, and discontinuation of centers and institutes to assure the effective and efficient use of resources. The constituent institutions are encouraged to develop more detailed protocols as appropriate, as long as they are in compliance with these basic policies and procedures.

B. PURPOSE AND SCOPE OF INSTITUTES AND CENTERS

Institutes and centers are established within the University to strengthen and enrich multidisciplinary programs of research, instruction or public service conducted by the faculty and staff. They also may provide undergraduate, graduate, and postdoctoral students with added research opportunities, facilities, and assistance, as well as enhance their involvement in public service and educational activities. The units also have a strong positive impact on the economic development of the state by providing job opportunities, supplying technical assistance and training, fostering community development, and enhancing the transfer of new technologies.

Institutes and centers must avoid unnecessary duplication within UNC. Each unit seeks to differentiate its mission and activities from other units, and to make its facilities available to other constituent institutions for cooperative activities as appropriate. The creation of an institute or center will not be authorized if the goals and clientele are essentially the same as those of an existing department, school, institute or center.

The activities of an institute or center may be funded from state appropriations, or from extramural funds sought for that purpose, or both. Unless organized specifically in response to legislation and appropriations approved by the North Carolina General Assembly to focus on a specific state need, each center and institute is expected to demonstrate a strong foundation of non-state support to justify its establishment and continuing operation.

C. AUTHORITY AND LINES OF RESPONSIBILITY

Institutes and centers are established or discontinued by the Board of Governors, acting upon recommendation of the President who shall seek the advice of the Chancellor(s) of the constituent institution(s) involved. Centers and institutes have the authority to manage space, budget, and personnel matters, but in general do not offer faculty appointments.

1. Institutional Centers and Institutes

An institute or center serving a single institution is responsible to the Chancellor or, by his or her delegation, to another administrative officer. The Director of an institutional institute or center is appointed by the Chancellor. If the Director's position is that of a senior administrative officer, the Director is nominated by the Chancellor for appointment by the President and the Board of Governors. If a faculty appointment is involved, the regular procedures for faculty appointments also are followed. Associate or Assistant Directors are appointed by the Director, subject to the approval of the Chancellor or a designated administrative officer of the institution.

2. Interinstitutional Centers and Institutes

Interinstitutional units are responsible to the President on policy and interinstitutional coordinating matters. They report through the Chancellor of the institution serving as the "administrative unit" to whom the President has delegated responsibility and authority to act. The President, however, retains ultimate responsibility for matters of general policy and intercampus coordination. The Director of an interinstitutional institute or center is responsible for administrative purposes to the Chancellor, or another administrative officer as designated by the Chancellor, of that constituent institution. The Director is appointed by the Board of Governors, upon recommendation of the President. A search committee for the Director is appointed by the President, based upon recommendations from the Vice President for Research and the Chancellor or his or her designee. If a faculty appointment is involved for the Director, the regular procedures for faculty appointments also are followed. Associate or Assistant Directors are appointed by the Director, subject to the approval of the Chancellor on whose campus the appointees will serve.

D. PROCEDURES FOR AUTHORIZATION TO PLAN AN INSTITUTE OR CENTER

To initiate the approval process for a new institute or center, the Chancellor shall first submit to the President a formal request for authorization to plan the institute or center. This is accomplished by a letter to the President, with a copy to the Vice President for Research, including sections (a-d) summarizing the following:

- a. relevance of the proposed center or institute to the mission of the institution or of the University;
- b. objectives and organization of the proposed unit, and why these objectives cannot be achieved within the existing institutional or University structures;
- c. information about any similar units in the University and the State and any proposed relationships or possible overlaps with them; and
- d. potential sources and estimated funding required to initiate the institute or center.

When the President acts on the request for authorization to plan the proposed institute or center, the Chancellor(s) of the relevant constituent institution(s) will be notified accordingly.

If the proposed institute or center is to be included as a component of a grant or contract application for support from an external agency, the authorization to plan must be granted prior to submission of the application from the constituent institution to the external agency. Review of the planning request will be given highest priority by the UNC General Administration staff to minimize problems with meeting agency deadlines for proposal submission. If the proposal is inadvertently submitted without prior authorization to plan, it may be required to be withdrawn or revised to satisfy University policies, in addition to requiring the submission of an appropriate request for planning authorization to the President. All submitted proposals also should include a statement that a subsequent request for establishment to the Board of Governors of the University of North Carolina will be required.

There are instances where institutions seek funds to establish a center or institute of limited scope that does not require authorization by the Board of Governors. The abstract of the proposal should make it clear that such a proposed unit is in a category such as an institutional "instructional center," "small c center," or "consortium," and should not be subject to these policies (see Addendum - Items 4 and 7). If, however, it later becomes apparent that the proposed institute or center is of sufficient scope to require Board of Governors' approval, authorizations to plan and to establish must be submitted and approved before the institution can accept any funds from the granting agency.

Authorization to plan an institute or center is valid for an initial period of two years. The status of proposed centers will be updated and planning authorizations reconfirmed by the respective institutions with each update of the University Long-Range Plan (see also Section G).

E. PROCEDURES FOR AUTHORIZATION TO ESTABLISH AN INSTITUTE OR CENTER

If the President approves the request for authorization to plan, the institution involved subsequently submits a formal proposal to establish the unit. Issues such as securing adequate start-up funding, confirming the absence of duplication with existing units, and the identification of suitable space and capital equipment resources should be addressed before requesting authorization to establish an institute or center.

The proposal for authorization to establish the center or institute is submitted to the President, with a copy to the Vice President for Research, and contains the following sections:

- a. the name of the proposed institute or center;
- b. the specific objectives and goals of the proposed unit;
- c. the unit's relevance to the institutional or University mission, including the impact upon the existing academic departments, schools, institutes and centers;
- d. a statement about any anticipated effects of the proposed unit on the instructional programs of the proposing institution(s);
- e. the name of the proposed director, and a description of any proposed advisory or policy boards;
- f. a description of the proposed unit's responsibility structure, including an organizational chart showing the relationship of the proposed unit to the existing organizations, the institution and the internal organization of the proposed unit;
- g. budget estimates for the first year of operation, projections for the following four years, and anticipated sources of funding;
- h. a statement of capital needs such as equipment and library resources;
- i. a description of immediate space needs and projections of future space needs;
- j. any additional information necessary to support the request to establish.

If the President approves the request for authorization to establish the proposed institute or center, it will then be recommended to the Committee on Educational Planning, Policies, and Programs of the Board of Governors. If the Committee approves the request, it will then recommend approval to the full Board of Governors at its next scheduled meeting. The President will notify the Chancellor of the constituent institution of the decision of the Board of Governors.

A simple change in the name of a previously established center or institute does not require Board approval, but should be reported in writing by the Chancellor to the President, with a copy to the Vice President for Research.

F. PERIODIC INSTITUTIONAL REVIEW OF INSTITUTES AND CENTERS

Chancellors shall establish mechanisms and schedules for periodic review and evaluation of all institutes and centers housed or administered by their respective institutions. Such reviews should result in recommendations regarding continuance of the unit. Particular attention should be paid to the relationship between the objectives of the institute or center and the mission of the institution. Other important criteria in internal or external evaluations should include the following:

- a. Is current funding of the unit sufficient to continue its operation? If the unit was originally given start-up funds from the University or other granting agencies, has it been able to attract sufficient external funds to continue without major additional institutional support?
- b. Are the unit's stated goals and objectives being met? Are the support and training of students consistent with the unit's stated goals and objectives?
- c. Are the quality and quantity of scholarly activity by faculty, professional staff, and students reflected in the unit's output (e.g., publications, patents, grants, contracts)?
- d. Do current operations duplicate the efforts of other units?
- e. Do financial audits and professional evaluations demonstrate that the unit is being managed appropriately?
- f. Are the facilities required for continued operation of the unit adequate?
- g. Are the unit's clients being served? (The clients may include students, faculty, University administration, practicing professionals, the general public, the North Carolina General Assembly, or funding agencies, as may be appropriate considering the unit's mission.)

G. PROCEDURES FOR SUBMISSION OF REPORTS TO UNC GENERAL ADMINISTRATION

In addition to the institutional reviews described in Section F, routine status reports shall be submitted to UNC General Administration. The Director of each institute or center prepares a status report, typically between three to five pages in length, to be submitted to the President by the appropriate Chancellor. The report is prepared as part of each general update of the Long-Range Plan of the University carried out every two years. The status report provides summary information following the format shown in Appendix 1 at the end of this section, and includes quantitative data for the most recent fiscal year. The institution serving as the administrative unit for an interinstitutional center is responsible for submitting its status report. Major proposed changes in the budget, administrative structure, mission and/or goals (Section IX of Appendix 1) also may require formal approval by the Board.

Institutes or centers proposing discontinuation for consideration by the Board of Governors must complete only Sections I, II, and X of the reporting form shown in Appendix 1.

The UNC General Administration staff will work with the constituent institutions to develop direct electronic reporting procedures, including the use of World Wide Web based templates to collect data and to facilitate the submission and processing of routine status reports for existing centers and institutes.

For each Long-Range Plan update, institutions also must indicate the status of proposed new centers and institutes for which planning authorization has been granted previously. The institution must specify a requested action, either: (a) that reconfirmation is requested, including the estimated date for submitting the request to establish, or (b) that the planning request is withdrawn.

H. PROCEDURES FOR DISCONTINUATION OF AN INSTITUTE OR CENTER

When an institution decides to discontinue an institute or center, the Chancellor will forward a written request to the President, with a copy to the Vice President for Research. For example, if there is a loss of funding or key faculty; or if the mission, goals, or objectives of an established center or institute are to be superseded by a new one; the Chancellor should recommend that a unit be discontinued. The adequacy of funding sources is a critical element in determining whether a center or institute should continue operations. There are, of course, instances where the continuing operation of the center is of sufficient importance to warrant some additional financial assistance from the University on an interim basis. However, if the external sources of support have been lost, the Chancellor is strongly advised to recommend discontinuation unless alternative long-term prospects for funding can be identified.

After considering the recommendations of the Chancellor and the Vice President for Research, the President is responsible for recommending that an institute or center be discontinued by the Board of Governors. The Committee on Educational Planning, Policies, and Programs has the final authority for approving discontinuation. The President will notify the Chancellor of the constituent institution of the Committee's action.

The "phase-out" period for an institute or center that is to be discontinued shall be sufficient to permit an orderly termination or transfer of contractual obligations and to allow an effort to find alternative 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 final approval is given to discontinue the unit.

I. EXCEPTIONS

The North Carolina Agricultural Research Service, the North Carolina Cooperative Extension Service, and the Area Health Education Center Program are exempt from these policies and procedures. The UNC Center for Public Television and the public radio stations housed at the constituent institutions also are not subject to these policies. In addition, some instructional institutes or centers, as well as some institutes and centers of limited scope, may not require authorization by the Board of Governors (see items 4 and 7, respectively, in the Addendum). Any other exceptions or modifications must be approved by the President, based upon a written request from the Chancellor.

J. INVENTORY OF EXISTING INSTITUTES AND CENTERS

An inventory of existing institutes and centers listing the research and public service units authorized by the Board of Governors is included in each Long-Range Plan of the University and is available upon request from the Vice President for Research. Information also is available under the "Centers and Institutes" listings within the "Research" pages of the UNC General Administration World Wide Web site (<http://www.ga.unc.edu/research>), including a copy of these policies and procedures.



Molly Corbett Broad

ADDENDUM. DEFINITION AND POLICIES FOR SPECIFIC CATEGORIES OF INSTITUTES AND CENTERS

1. Institutes Versus Centers

For the purposes of classification within UNC, there is no technical distinction made between the terms "institute" and "center." Both typically offer interdisciplinary programs attracting faculty, students, and staff from various academic departments. In practice, an "institute" frequently refers to an activity with a broader scope than a "center." For example, an institute may create centers as separate units within its administrative structure.

2. Research Institute or Center

A research institute or center is a formal organization that has research as its primary mission. A research institute or center may also provide instructional, training, technical assistance, or public service programs. Although such units do not usually have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

3. Public Service Institute or Center

A public service institute or center is a formal organization that has public service or technical assistance as its primary mission. Research, instruction, and training may also be conducted as secondary components of its activities. Although such units do not usually have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

4. Instructional Institute or Center

An instructional institute or center is a formal organization that has training or instruction as its primary mission. Research and public service activities may also constitute a part of its activity. Although such units do not usually have primary jurisdiction over academic curricula, they may offer courses in cooperation with academic units. In contrast to typical research and public service units, instructional centers may require little in additional appropriations or extramural support via grants or contracts. As a consequence, an instructional institute or center may not be required to receive formal authorization by the Board of Governors. However, requests for authorization to plan should be submitted as outlined in Section D. The President, in consultation with the Vice Presidents for Research and for Planning, will decide whether formal authorization to establish the center is required from the Board of Governors. If so, then the center or institute must abide by all of the policies and procedures herein.

5. Laboratory

Primarily used by NCSU, the term "laboratory" may designate a distinct category of a center or institute. In this context, a "laboratory" involves a collection of specialized equipment and supporting facilities providing services to clientele from the University or external organizations. Such a "laboratory" is considered a center or institute and normally is covered under these policies and procedures.

6. Membership Centers or Institutes

A research or public service unit also may be defined as a "membership" center or institute. These units receive a substantial portion of their funding from membership fees paid by corporate or other private or governmental entities to pursue research or public service activities of mutual benefit. Membership agreements are routed through the institution using the standard internal processing forms for approvals of sponsored program requests. Once signed and fees paid by the member organization, the agreement is processed as a sponsored program award by the institution. NCSU, for example, has detailed administrative procedures in place to manage membership units involved in organized research or public service.

7. Centers That May Not Require Authorization by the Board of Governors

Centers or institutes that operate within a single academic unit, and which do not have a separate administrative structure or budget normally are considered exempt from these policies and procedures. Such centers limited in scope sometimes are referred to as "small c" centers. For example, a center that operates within an academic department, submits sponsored program proposals and receives funds through the department, and has an administrative staff that is incorporated within the department's organizational structure, is a "small c" center. In other words, the academic department provides the direct support for the instruction, public service, and/or research activities performed by the "small c" center. Similarly, a center incorporated within a larger center or institute may be considered as a "small c" center if it does not have an independent budget and governance structure. At UNC-CH, there are a number of "small c" organizations, such as some clinical centers, that are established and administered within the institution. At NCSU, centers not requiring Board of Governors approval include "consortia" which are limited in scope, are established by NCSU for a fixed period, and are monitored internally by NCSU. Centers or institutes that report directly to the "school" or "college" or to a senior administrative level of an institution usually are considered major centers requiring authorization by the Board of Governors. However, there are exceptions where a school may be smaller than some departments within an institution, such as at UNC-CH. In such instances, the school may be sufficiently narrow in scope to be considered as a single academic unit in the context of these guidelines.

Whenever an institution suspects there is a possibility that a proposed institute or center may require Board of Governors approval, a request for authorization to plan must be submitted as outlined in Section D. Such a request may include a recommendation from the Chancellor that the proposed unit be considered as exempt from the requirement for Board approval, as appropriate. The President, in consultation with the Chancellor and the Vice Presidents for Research and for Planning, will decide whether formal authorization to establish the center is required from the

Board of Governors. The Chancellor will be notified by the President whether a subsequent proposal to establish the center or institute must be submitted as described in Section E.

If an existing "small c" center or other similar unit previously considered exempt from these policies is proposing to have an independent budget and adopt a separate administrative structure, requests for authorization to plan and to establish must be submitted as described in Sections D and E, respectively.

Occasionally the classification of an existing center, not previously authorized by the Board of Governors, may be called into question. For example, a sponsored program proposal request or an announcement of a major grant award may suggest that the center has expanded in scope and might require authorization by the Board of Governors. In such instances, the President will ask the respective Chancellor to provide a written justification as to why the center or institute should continue to be considered exempt from these policies and procedures.

8. Institutional Versus Interinstitutional Centers and Institutes

Institutes and centers may be either institutional or interinstitutional in nature. They may include the participation of other institutions, agencies, or organizations, such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies.

Interinstitutional centers and institutes generally involve more than one academic institution within UNC and must designate a specific campus to serve as the site of the administrative unit for the center or institute. Interinstitutional units serve to promote cooperation and to minimize duplication within the University. They may serve to increase the opportunities for external funding by enhancing interdisciplinary collaborations, and by facilitating access to a wider range of facilities, faculty, students, and other resources. Interinstitutional units also may enhance outreach and public service to the citizens of North Carolina by providing a coordination of "regional sites" in fields such as small business and economic development, cooperative extension, public health, the environment, and teacher training.

If an existing institutional center wishes to expand its scope by serving as the administrative unit for an interinstitutional center, a request for authorization to establish should be submitted as described in Section E. The request should address the impact of the proposed change to interinstitutional status. (Since the center already has a record of performance as an institutional center approved by the Board of Governors, it is not necessary to submit another authorization to plan.) Once the change in status to an interinstitutional center or institute is approved, the unit must adhere to the authority and lines of responsibility described in Section C, Item 2.

APPENDIX 1: REPORTING FORMAT FOR INSTITUTES AND CENTERS

- I. Center**
 - A. Name of Institute or Center
 - B. Year Established by the Board of Governors
 - C. Internet Home Page URL
- II. Director**
 - A. Name
 - B. Title
 - C. Address
 - D. Phone and FAX Numbers
 - E. E-mail Address
- III. Mission Statement**
- IV. Relevance to Institutional Mission (including involvement with instructional programs)**
- V. Measures of Performance - Fiscal Year _____**
 - A. Personnel
 1. Number of FTE Faculty and Staff: EPA Positions _____ SPA Positions _____
 2. Number of FTE Students: Doctoral _____ Masters _____ Undergraduate _____
 - B. Funds
 1. Direct State Appropriations: \$ _____
 2. All Other University Support (overhead receipts, cost sharing): \$ _____
 3. Total External Support from Grants and Contracts to the Center: \$ _____
 4. Estimated External Support Derived from Grants and Contracts Awarded to Other University Units: \$ _____
 5. Total All Sources of Support (Items 1-4 above): \$ _____
 - C. Contracts and Grants Awarded to Center (numbers)
 1. Numbers of Awards
Federal _____ Industrial _____ State _____ Other _____ Total _____
 2. Dollar Amounts of Awards
Federal \$ _____ Industrial \$ _____ State \$ _____ Other \$ _____ Total \$ _____
 - D. Publications (numbers)
Books _____ Journal Articles _____ Proceedings Papers or Reports _____ Total _____
 - E. Technology Transfer Activities (numbers)
Invention Disclosures _____ Patent Applications _____ Patents Received _____ Licenses _____
 - F. Membership Centers Only
Number of Members _____ Number of Licenses Awarded to Center Members _____
- VI. Major Services Delivered to North Carolina (including clientele served, societal benefits, State and regional priorities being addressed, economic impact)**
- VII. Examples of Most Significant Accomplishments**
- VIII. Role of Center within the UNC System**
 - A. Geographic Region Served by Center, if Limited within North Carolina
 - B. Duplication of Center within UNC System (if yes, please justify)
 - C. Inter-Institutional Cooperative Activities Involving the Center
- IX. Planned Changes for Program Improvement During Next Planning Period**
 - A. Size (personnel, space)
 - B. Budget (include internal versus external support)
 - C. Administrative Structure and Governance
 - D. Mission
- X. Centers or Institutes Proposing Discontinuation**
 - A. Reason for Discontinuation
 - B. Proposed Phase Out Period
 - C. Effective Date for Discontinuation