



TRANSMITTAL LETTER

The University of North Carolina

Office of the President

Transmittal Number 31 (Revised)
May 26, 2004

Subject: Regulations for Planning, Establishing, and Reviewing Centers and Institutes in The University of North Carolina

This transmittal letter distributes the Regulation 400.5[R], Regulations for Planning, Establishing and Reviewing Centers and Institutes in The University of North Carolina. **Please note that this action amends Regulation 1200.6[R]. Please remove Regulation 1200.6[R] from your policy manual and place this amended regulation at 400.5[R].**

Please contact Jennifer Klimas, Research Director, at 919-962-2676, if you have any questions regarding the above Regulation.

Adopted 01/12/81
Amended 07/30/97
Amended 07/01/02
Amended 05/06/2004

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

A. Introduction

One important means of fulfilling the 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.

The objective of these regulations is to provide a uniform framework governing the establishment, review, and discontinuation of centers and institutes to ensure the effective and efficient use of resources. Specific types of centers and institutes, as well as the regulations and procedures pertaining to these individual categories, are defined in these regulations. The constituent institutions will develop more detailed protocols as appropriate, in accordance with these basic regulations. The suggested reporting format for review of centers and institutes follows as Appendix I.

B. Definitions for Specific Categories of Centers and Institutes

1. Centers Versus Institutes

For the purposes of classification within UNC, there is no technical distinction made between the terms "center" and "institute." Both typically offer interdisciplinary programs attracting faculty, students, and staff from various academic departments or other structured units. 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. Institutional Versus Interinstitutional Centers and Institutes

Centers and institutes may be either *institutional* or *interinstitutional* in nature, and may be designated as research, public service, or instructional units. They may include the participation of other institutions, agencies, or organizations,

such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies.

Institutional

Institutional centers and institutes report to only a single campus within the UNC system. These centers or institutes may collaborate with units or departments from other institutions for specific activities or projects, but fiscal and administrative oversight is limited to a single institution. Institutional centers do not submit planning, establishment, or discontinuation requests to the Board of Governors, but are subject to the policies and procedures for establishment and review that are established by their respective campus.

Interinstitutional

Interinstitutional centers and institutes involve more than one campus within the UNC system for participation, including shared administrative and fiscal oversight or substantial involvement of more than one UNC institution in ongoing activities. Centers are also considered interinstitutional if the Office of the President provides fiscal and/or administrative oversight. Each interinstitutional center must designate the unit to provide administrative and/or fiscal oversight. In some cases these responsibilities may be assigned to two separate institutions or assumed by the Office of the President. The UNC Board of Governors provides oversight for all interinstitutional centers and institutes in accordance with these regulations.

Interinstitutional centers serve to promote collaboration and to minimize duplication within the University. They 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 centers may also 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.

3. Types of Centers and Institutes

Research

A *research* center or institute has research as its primary mission. Both institutional and interinstitutional centers may be designated for research. Although classified as a research center or institute, such a unit may also provide instruction, training, technical assistance, or public service programs. Although such units do not have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

Public Service

A *public service* center or institute has public service or technical assistance as its primary mission. Both institutional and interinstitutional centers may be

designated for public service. Research, instruction, and training activities may also be conducted as secondary components of the mission. Although such units do not have jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

Instructional

An *instructional* center or institute has training or instruction as its primary mission. Both institutional and interinstitutional centers may be designated for instruction, and these units may also conduct research and public service activities. Although instructional centers and institutes do not have primary jurisdiction over academic curricula, they may offer courses in cooperation with academic units.

4. Other Designations for Centers and Institutes

Membership Centers or Institutes

Any center or institute may also 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, public service, or instructional activities of mutual benefit. Membership agreements are routed through the institution using the standard internal processing forms for approvals of sponsored program requests. Once the agreement is signed and the fees have been paid by the member organization, the agreement is processed as a sponsored program award by the institution. Some campuses may develop detailed administrative procedures to manage membership units involved in organized research or public service.

C. Purpose and Scope of Centers and Institutes

Centers and institutes are established within the University to strengthen and enrich multidisciplinary programs of research, public service, or instruction 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. Centers and institutes 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.

Centers and institutes must avoid unnecessary duplication within UNC. Each unit seeks to differentiate its mission, activities, and/or clientele from other UNC units, and to make its facilities available to other constituent institutions for cooperative activities as appropriate.

The activities of a center or institute may be funded from state appropriations, or from external 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.

D. Authority and Lines of Responsibility

Institutional centers and institutes are established or discontinued at the discretion of the chancellor of the constituent institution. Campuses must develop policies to govern the planning, establishment, and regular review of institutional centers. Policies must be consistent with these regulations and must include approval by the Board of Trustees.

Interinstitutional centers and institutes are established, discontinued, and reviewed biennially by the Board of Governors, acting upon recommendation of the President with the advice of the chancellor(s) of the constituent institution(s) involved. Interinstitutional centers and institutes are subject to these regulations for planning, establishment, review, and discontinuation.

All centers and institutes may be given the authority to manage space, budget, and personnel matters, but in general do not offer faculty appointments. Exceptions or additional lines of responsibility may be determined for specific centers and institutes.

1. Institutional Centers and Institutes

A center or institute serving a single institution is responsible to the chancellor or, by his or her delegation, to another administrative officer. The director of a campus center or institute is appointed by the chancellor. If the director's position is that of a senior administrative officer, the appointment is made in accordance with existing policies for such appointments. 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.

Each institution will implement policies for the campus to follow when planning and establishing a new center or institute. These policies shall include approval by the Board of Trustees. Institutions will also conduct regular reviews of institutional centers and institutes in accordance with the mechanisms, schedules, and specific criteria established by the chancellor and approved by the Board of Trustees. A suggested reporting format is included as Appendix I. Each center or institute will have a web site displaying at minimum the center's name, primary designation (research, public service, instructional), director's name and contact information, and a brief mission statement. This site can be maintained by each individual center or the information may be compiled as part of a central listing for the institution. A list of active institutional centers and institutes, their

primary designation (research, public service, instructional), and a link to their corresponding website will be submitted to the Vice President for Research every two years for inclusion in the update of the University's Long-Range Plan.

Centers or institutes that report directly to the "school" or "college" or to a senior administrative level of an institution are considered major centers and are subject to these regulations. These centers have a separate administrative structure or budget, and do not depend on the direct support of a single department. Some campus centers or institutes do operate within a single academic department or are incorporated within a larger center or institute. These units may be considered exempt from these regulations. The final determination will be left to the discretion of each constituent institution.

2. Interinstitutional Centers and Institutes

Interinstitutional centers and institutes 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 center or institute is responsible for administrative purposes to the chancellor, or another administrative officer as designated by the chancellor, of the administrative 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.

Review of interinstitutional centers or institutes will be conducted by the institution providing administrative oversight every two years and result in recommendations to the President regarding continuation of these units (see Section G, Item 2). A report following the format in Appendix I at the end of this section will be submitted for update of the University's Long-Range Plan.

E. Procedures for Authorization to Plan a Center or Institute

1. Institutional Centers and Institutes

Institutions may establish a center or institute on an individual campus without the authorization of the Board of Governors. Each institution will implement policies for the campus to follow when planning and establishing a new center or institute. Such policies shall include approval by the Board of Trustees.

2. Interinstitutional Centers and Institutes

To initiate the approval process for a new interinstitutional center or institute, the chancellor of the institution providing administrative oversight shall first submit to the President a formal request for authorization to plan the center or institute. Authorization to plan a center or institute is valid for an initial period of two years. The status of proposed centers will be updated and planning authorizations reconfirmed with each update of the University Long-Range Plan.

The chancellor should submit a letter to the President, with a copy to the Vice President for Research, summarizing the following:

- a. relevance of the proposed center or institute to the mission of the institution(s) 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 and sustain the center or institute.

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

If the proposed interinstitutional center or institute is to be included as a component of a grant or contract application for support from an external agency, the authorization to plan should be granted prior to submission of the application from the constituent institution(s) to the external agency. Review of the planning request will be given highest priority by the UNC Office of the President staff to minimize problems with meeting agency deadlines for proposal submission. If the proposal is submitted without prior authorization to plan, it must be submitted as soon after as is feasible.

F. Procedures for Authorization to Establish a Center or Institute

1. Institutional Centers and Institutes

As stated above, institutions may establish a center or institute on an individual campus without the authorization of the Board of Governors. Each institution must implement policies for prospective centers or institutes to follow when planning and establishing a new institutional center or institute. These policies

shall include approval by the Board of Trustees. The campus approval process should include a consideration of the proposed name of each center or institute to assure that it realistically and accurately reflects the scope of the mission, activities, and clientele of the center or institute.

2. Interinstitutional Centers and Institutes

If the President approves the request for authorization to plan, the institution(s) providing administrative and fiscal oversight should subsequently submit 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 the interinstitutional center or institute.

The proposal for authorization to establish an interinstitutional 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 center or institute;
- b. the specific objectives and goals of the proposed unit;
- c. the unit's relevance to the institutional or University missions, including the impact upon the existing academic departments, schools, centers and institutes;
- 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 organization chart showing the relationship of the proposed unit to the existing organizations, the institution(s) 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 operating 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;

- k. recommendation of the chancellors of the involved institutions.

If the President approves the request for authorization to establish the proposed interinstitutional center or institute, 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(s) of the relevant constituent institution(s) of the Board of Governors' decision.

A change in the name of a previously established interinstitutional center or institute does not require Board approval, but should be requested in writing by the chancellor to the President, with a copy to the Vice President for Research. 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 above. The request should address the impact of the proposed change to interinstitutional status. 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 D, Item 2.

G. Periodic Review of Centers and Institutes

1. Institutional Centers and Institutes

Chancellors shall establish mechanisms, schedules, and specific criteria for periodic review and evaluation of all institutional centers and institutes housed or administered by their respective institutions. These policies shall include approval by the Board of Trustees. A suggested reporting format is included as Appendix I. Particular attention should be paid to the relationship between the objectives of the center or institute and the mission of the institution. Other important criteria in evaluations may address 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.)

2. Interinstitutional Centers and Institutes

Review of interinstitutional centers or institutes will be conducted by the UNC Office of President in cooperation with the constituent institutions every two years and will result in recommendations to the President and the Board of Governors regarding continuation of these units. The institution serving as the administrative unit for an interinstitutional center is responsible for submitting a report following the format in Appendix I at the end of this section to the UNC Office of the President for each update of the University's Long-Range Plan. UNC Office of the President staff will notify each of the interinstitutional centers and institutes and their respective institutions when the reporting cycle is underway.

The UNC Office of the President staff will work with the constituent institutions to utilize direct electronic reporting procedures, including the use of Internet-based templates to collect data and to facilitate the submission and processing of status reports for interinstitutional centers and institutes.

Major proposed changes in the budget, administrative structure, mission and/or goals (Section IX of Appendix I) may require formal approval by the Board of Governors. Centers or institutes proposing discontinuation must complete only Sections I, II, and X of the reporting form shown in Appendix I.

For each update of the University's Long-Range Plan, institutions also must indicate the status of proposed new interinstitutional 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.

3. Inventory of Existing Centers and Institutes

Each institution must submit a list of active institutional centers and institutes, their primary designation (research, public service, instructional), and a link to their corresponding website (see Section D, Item 1) to the Vice President for

Research every two years for inclusion in the update of the University's Long-Range Plan. An inventory of all UNC institutional and interinstitutional centers and institutes is included in each update of the University's Long-Range Plan and is available upon request from the Vice President for Research.

Detailed information regarding interinstitutional centers is compiled by the UNC Office of the President from the biennial reports and is available under the "UNC Centers and Institutes Home Page" listings within the "Research" pages of the UNC Office of the President website:

(<http://www.northcarolina.edu/content.php/aa/departments/research/reports/centers.htm>).

H. Procedures for Discontinuation of a Center or Institute

Individual institutions may discontinue an institutional center or institute at the discretion of the chancellor in accordance with campus policy. When it becomes necessary to discontinue an interinstitutional center or institute, the chancellor of the administrative institution(s) should forward a written request to the President, with a copy to the Vice President for Research. The chancellor may make this decision, in consultation with the other participating constituent institutions, on the basis of a number of factors, such as 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 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 institution on an interim basis. However, if the external sources of support have been lost, discontinuation is strongly advised 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 will notify the chancellor of the constituent institution that the discontinuation has been approved. If UNC Office of the President is directly responsible for the interinstitutional center or institute, the President will confer with the affected campus chancellors before approving discontinuation.

The "phase-out" period for institutional or interinstitutional centers or institutes that are 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 center or institute.

I. Exceptions to These Regulations

1. The North Carolina Agricultural Research Service, the North Carolina Cooperative Extension Service, and the Area Health Education Center Program are exempt from these regulations.

2. The UNC Center for Public Television and the public radio stations housed at the constituent institutions also are not subject to these regulations.
3. The Center for School Leadership Development (“CSLD”) consists of a group of programs designed to improve public K-12 education in North Carolina. Some of these programs were established by the General Assembly, but others have been or will be created independently of the General Assembly. If a program or center has a function that is consistent with the mission of the CSLD and will operate administratively within the CSLD, and if the program does not receive State-appropriated funding, then the program may become part of the CSLD when approved by the President on the recommendation of the Vice Presidents for University-School Programs and for Finance. The directors of programs or centers established by this method will be appointed by the Board of Governors upon the recommendation of the President and will report to the Vice President for University-School Programs or to the Vice President’s designee.

Any other exceptions or modifications to these regulations must be approved by the President.

APPENDIX I

REPORTING FORMAT FOR INTERINSTITUTIONAL CENTERS AND INSTITUTES

- I. Center**
- A. Name of Center or Institute
 - B. Year Established (mm/dd/yyyy)
 - C. Internet Home Page URL
 - D. Primary Designation (Research, Public Service, Instruction)
 - E. Participating Campuses (or other entities)
- II. Director**
- A. Name
 - B. Title
 - C. Address
 - D. Phone and FAX Numbers
 - E. E-mail Address
 - F. Other Contact name
 - G. Other email address (leave blank if none provided)
- III. Mission Statement**
- IV. Relevance to Institutional Missions (including involvement with instructional programs)**
- V. Measures of Performance - Fiscal Year _____**
- A. Personnel
 1. Number of FTE (equivalent) Faculty and Staff: EPA Positions ____ SPA Positions ____
 2. Number of FTE (equivalent) Students: Doctoral ____ Masters ____ Undergraduate ____
 - B. Funds (actually received during specified FY)
 1. Direct State Appropriations: \$ _____
 2. Total External Support from Grants and Contracts: \$ _____
 3. All Other University Support (overhead receipts, cost sharing, patent and licensing revenue, University allocations): \$ _____
 4. Gifts to the Center: \$ _____
 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. Expenditures
 1. Total Expenditures: \$ _____
 - E. Publications (numbers)
Books ____ Journal Articles ____ Proceedings Papers or Reports ____ Total ____
 - F. Technology Transfer Activities (numbers)
Invention Disclosures ____ Patent Applications ____ Patents Received ____ Licenses ____
 - G. 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
- 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 Activities for Phase Out Period
- C. Effective Date for Discontinuation