

Institutional Centers and Institutes

General Guidelines, Procedures, and Forms

(Approved by the UNCG Board of Trustees November 18, 2004)

(Amended April 6, 2006)

Introduction: In May 2004 responsibility was assigned to the individual campuses of the UNC System to oversee the planning, establishment, discontinuation, and review of institutional (single campus) centers and institutes. Inter-institutional centers and institutes (involving more than one campus in the UNC System) must fulfill requirements of the Office of the President (see UNC Policy Manual, Section 400.5 [R], at http://www.northcarolina.edu/content.php/apps/research_cil/procedures.htm).

General Guidelines and Procedures

I. Definitions of UNCG Centers and Institutes

Centers and institutes are important means of fulfilling the mission of the University. Their mission may include research, public service, and / or instruction. The functions of a Center or Institute include facilitation of research and research collaborations; dissemination of research results through research conferences, meetings and other activities; strengthening of graduate and undergraduate education by providing students with training opportunities and access to facilities; seeking external funds to support the activities of the Center or Institute; and conducting university and public service programs related to the Center or Institute's expertise. The objective of these policies and procedures is to provide a framework governing the planning, establishment, review, and discontinuation of institutional centers and institutes. Specific types of centers and institutes, as well as the regulations and procedures pertaining to these individual categories, are defined in this document.

Organizational structure: Center versus Institute

There is no technical distinction between the terms "center" and "institute." Both typically offer interdisciplinary programs involving faculty, students, and staff from various academic departments or other structural units. Often a center or institute's activities involve the general public or public agencies. 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.

Status: Institutional versus Inter-institutional Centers and Institutes

Centers and institutes may be either institutional or inter-institutional.

Institutional centers and institutes report to 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 (campus). Institutional centers and institutes are not required to submit planning, establishment, discontinuation, or review documents to the UNC Board of Governors, but are subject to the policies and procedures established by UNCG.

Inter-institutional centers and institutes, involving more than one campus in the UNC system, serve to promote collaboration and to minimize duplication with the UNC System. Multiple-campus Centers and Institutes involving UNCG and a non-UNC system institution may operate under the policies of an “institutional” center. **The UNC Board of Governors provides oversight for all inter-institutional centers and institutes.** See the UNC Policy Manual, Regulations for Planning, Establishing, and Reviewing Centers and Institutes, at http://www.northcarolina.edu/content.php/apps/research_cil/procedures.htm for further details. Additional information may be obtained from the Associate Provost for Research and Public / Private Sector Partnerships, who coordinates the planning and review procedures for institutional and inter-institutional centers and institutes.

Types of Centers and Institutes

Research

A research center or institute has research as its primary mission. Although classified as a research center or institute, such a unit may also provide instruction, training, technical assistance, or public service programs. Such units do not have jurisdiction over academic curricula.

Public Service

A public service center or institute has public service or technical assistance as its primary mission. Research, instruction, and training activities may also be conducted as secondary components of the mission. Such units do not have jurisdiction over academic curricula.

Instructional

An instructional center or institute has training or instruction as its primary mission. These units may also conduct research and public service activities. Such units do not have jurisdiction over academic curricula.

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.

II. Purpose and Scope of UNCG Centers and Institutes

Purpose

Centers and institutes are typically established at UNCG 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 may 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 technology.

Unnecessary Duplication

Centers and institutes must avoid unnecessary duplication within UNCG.

Funding

The activities of a center or institute may be funded from state appropriations, institutional funds, or from external funds sought for that purpose, or a combination. In most cases, unless organized specifically in response to legislation and appropriate approval by the North Carolina General Assembly to focus on a specific state need, each center and institute is expected to demonstrate a

strong foundation or potential for external support to justify its establishment and support its continuing operation.

III. Authority and Lines of Responsibility

Structurally, all UNCG centers and institutes are considered part of Academic Affairs, and thus have a reporting relationship to the Office of the Provost, and through that, to the Chancellor. Every center or institute must have a primary affiliation with a Department Chair / Head, a Dean (or his/her designee), an Associate Provost or the Provost/ Vice Chancellor for Academic Affairs. This reporting relationship must be clearly stated in all proposals to plan, establish, or discontinue a center, and in the five-year review.

Personnel Appointments

A UNCG center or institute is responsible to the Chancellor or, by her designation, to another administrative officer. The director of a campus center or institute is appointed by the Chancellor, upon the recommendation of the Provost/ Vice Chancellor for Academic Affairs. 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.

Management of Space, Budget, Personnel

Centers and institutes may be given the authority to manage space, budget, and personnel matters, but in general do not offer faculty appointments.

Center and Institute Websites

Each UNCG center or institute is required to develop and maintain a website displaying at minimum the center's name, primary designation (research, public service, instructional), director's name and contact information, and a brief mission statement.

IV. Procedures for Planning, Establishing, Reviewing, and Discontinuing Institutional Centers and Institutes

Requests to plan, establish, or discontinue an institutional center may be initiated by a Department Chair / Dean, a Dean, an Associate Provost or the Provost / Vice Chancellor for Academic Affairs. **The Provost / Vice Chancellor for Academic Affairs may grant authorization to plan.** Authorization to establish or discontinue an institutional center or institute requires approval by the UNCG Chancellor and Board of Trustees. The necessary forms are included at the end of this document. Prior to submission of paperwork, any individual proposing to establish a center or institute is advised to work closely with the individuals(s) to whom the Center / Institute Director reports and the Office of Research and Public/Private Partnerships in the pre-planning and planning stages.

Coordination of the processes involving requests to plan, establish, or discontinue as well as review an institutional center or institute resides in the Office of the Associate Provost for Research and Public / Private Sector Partnerships. All materials should be submitted to that Associate Provost, who will coordinate the process of review by an Academic Affairs team including the Associate Provost for Research and Public/Private Sector Partnerships and the Provost/Vice Chancellor for Academic Affairs. Following a positive review in Academic Affairs, the request will be forwarded to the Chancellor for review and submission to the Board of Trustees.

A. Request to PLAN a UNCG Center or Institute (by letter)

1. Permission to PLAN a UNCG Center or Institute may be obtained through submission of a letter addressed to the Provost / Vice Chancellor for Academic Affairs. The letter must include the following:

- detailed information about the center's status (institutional or inter-institutional)
- type of center / institute (research, service, instructional or membership)
- reporting structure
- mission
- and potential for external funding.

The letter must be signed by the individual (academic Dean, an Associate Provost, or the Provost / Vice Chancellor for Academic Affairs) with whom the Center/Institute has primary affiliation and by other units, departments or faculty who will have substantial interaction with the Center or Institute. In the case of Centers / Institutes that report directly to a Department Chair / Head, a letter of support must also be obtained from the Dean of the appropriate academic unit.

2. Submit the letters to the Associate Provost for Research and Public / Private Sector Partnerships, who will route the Request through the process of review to the Associate Provost for Research and Public/Private Partnership and the Provost / Vice Chancellor for Academic Affairs.

3. Request to PLAN does not go to the Chancellor and Board of Trustees; a written response to a Request to PLAN should be received within a few weeks of submission.

B. Request to ESTABLISH a UNCG Center or Institute (Form A)

1. Within two years of receipt of permission to PLAN a UNCG Center or Institute, submit three copies of the **Request to Establish an Institutional Center or Institute** and all attachments to the Associate Provost for Research and Public / Private Sector Partnerships, who will route the materials through the process of review by the Associate Provost for Research and Public/Private Sector Partnerships and the Provost/Vice Chancellor for Academic Affairs, to be followed by submission to the Chancellor and the Board of Trustees.

2. Upon approval by the Board of Trustees, the Associate Provost for Research and Public / Private Sector Partnerships will notify the proposed center/institute that it may proceed with its establishment activities. Authorization to establish is valid for a period of two years.

C. Review Process for Institutional Centers and Institutes (Form B)

Reporting Requirements

All UNCG centers and institutes are required to undergo review at five-year intervals, on a schedule to be announced by the Office of the Provost / Vice Chancellor for Academic Affairs. A sample form is provided near the end of this document. Each center/institute will be notified of the review requirement and format prior to the review. Please note that inter-institutional centers and institutes, those involving multiple UNC institutions, are reviewed by the Office of the President.

Three copies of the report and associated materials should be sent to the Associate Provost for Research and Public / Private Sector Partnerships, 1601 HHRA, Campus. The Associate Provost for Research and Public / Private Sector Partnerships will be responsible for coordinating the review and for routing the report to other participants in the evaluation process.

Evaluation Criteria

A center / institute will be evaluated in relation to its mission, with attention to its productivity, its outreach to the community (if that is part of its mission), and the effectiveness of its management.

Review Process

Following submission of the report, the information will be reviewed by the Associate Provost for Research and Public / Private Sector Partnerships and the Provost/Vice Chancellor for Academic Affairs, and then forwarded to the Chancellor.

Results of the Review

Results of the review will be sent to each center or institute after the evaluation process has concluded.

D. Request to DISCONTINUE a UNCG Center or Institute (Form C)

1. If a decision is made that a center or institute should no longer continue operating, an **Authorization to Discontinue Request** must be submitted. A request to discontinue may be initiated by the individual who has primary responsibility for the center/institute (the Provost / Vice Chancellor for Academic Affairs, an Associate Provost, Dean, or Department Head / Chair.)
2. Three copies of all required materials should be submitted to the Associate Provost for Research and Public / Private Sector Partnerships, who will route the materials through the process of review by the Associate Provost for Research and Public/Private Sector Partnerships and the Provost/Vice Chancellor for Academic Affairs, to be followed by submission to the Chancellor and the Board of Trustees.
3. The Associate Provost of Research and Public / Private Sector Partnerships will notify the center or institute of the Board's action. The Center or Institute must plan to complete its phase-out within one academic year after receiving approval to discontinue its operations.

V. Inactive Centers and Institutes

A center or institute that has no activity for a period of 12 months will be deemed to be inactive. The web site of the center will be changed to indicate that the center is inactive. After a period of two years of inactivity, the center / institute will have a mandatory review. If no one associated with the center / institute is available to prepare the documents for review, the center / institute will be discontinued.

Form A
Request to ESTABLISH an Institutional Center or Institute

Within two years of receipt of permission to plan, the proposed center/institute must submit a request to establish.

Submit three copies of all materials to the Associate Provost for Research and Public / Private Sector Partnerships, 1601 HHRA, Campus

Contact Information:

Name:

Title:

Campus Address:

Campus Telephone:

FAX number:

E-Mail address:

Other contact names and email addresses:

I. General Information

Proposed Name of Center/Institute:

Date Approval to Plan granted (attach copy of approval letter):

Organizational structure

- Center
- Institute

Proposed Status

- Institutional (UNCG campus only). Complete this form.
- Inter-Institutional (involves more than one UNC system campus)

STOP: If you checked "Inter-Institutional," you must follow a different procedure to gain Office of the President approval to plan for and establish a center/institute. Contact the Associate Provost for Research and Public / Private Sector Partnerships at 256-0429 for more information.

Type of Center / Institute

- Research
- Public Service
- Instructional
- Membership [will receive substantial portion of funding from membership fees paid by corporate or other private/governmental entity]

Please attach responses to the following. *Provide the information on one side of the paper, 1 ½ inch left margin, all other margins 1 inch, Times Roman. Do not exceed 5 pages.*

- II. State the proposed mission of the center or institute.**
- III. Explain how the proposed name of the center or institute accurately reflects the scope of the mission of the center or institute.**
- IV. Describe the relevance of the mission of the proposed Center / Institute to the UNCG mission, including any impact upon the existing academic departments, centers, and institutes.**
- V. Provide a vision statement for the proposed center/institute.**
- VI. Provide a five-year list of the specific goals of the proposed center/institute.**
- VII. Describe how productivity will be evaluated.**
- VIII. If relationships with the external community are a part of the vision of the proposed Center/Institute, describe how this will occur and how its effectiveness will be measured.**
- IX. Provide information about the proposed director.**
- X. Describe any proposed advisory or policy boards.**
- XI. Attach the proposed center/institute's organizational chart. Clearly explain, on the chart or in written form, the relationship of the center or institute to any academic units.**
- XII. Supply budget estimates for the first year of operation, projections for the following four years, and anticipated sources of funding. Justify items included on the budget.**
- XIII. Explain immediate space needs and project space needs for the next five years.**
- XIV. Describe how a website will be maintained.**

Submitted by: _____

Title: _____

Signature: _____

Date: _____

APPROVALS:

Department Chair / Head _____
Date

Dean _____
Date

Associate Provost for Research
and Public/Private Sector Partnerships _____
Date

Provost and Vice Chancellor for Academic Affairs _____
Date

Chancellor _____
Date

Chair, UNCG Board of Trustees _____
Date

Form B
Review of Institutional Centers and Institutes

Submit three copies of all materials to the Associate Provost for Research and Public / Private Sector Partnerships, 1601 HHRA, Campus

Center/Institute Name: _____

Submitted by: _____

Title: _____

Signature: _____

Date: _____

Please attach responses to the following. *Provide the information on one side of the paper, 1 ½ inch left margin, all other margins 1 inch, Times Roman. Do not exceed 15 pages.*

I. Information and Contacts:

Center or Institute Name:

Year Established (mm/dd/yyyy):

Website Address (url) (required):

Primary Designation (research, public service, instructional, membership):

Date Report Submitted:

Director:

Name and Title:

Campus Address:

Telephone and Fax:

E-mail address:

Individual with whom the center / institute has primary affiliation (Department Chair / Head, Dean, Associate Provost, or Provost / Vice Chancellor for Academic Affairs):

Name and Title:

Campus Address:

Telephone and Fax:

E-mail address:

II. Provide the Mission Statement of the center/institute as given in the original Establishment Document. Describe how this mission remains appropriate to the activities of the Center / Institute. If the Mission Statement is no longer appropriate for the activities of the Center / Institute, what actions will be taken?.

III. Explain how the work of the center/institute remains relevant to the mission of UNCG, including any impact upon existing academic departments, centers and institutes.

- IV. Provide the Vision Statement for the Center / Institute as given in the original Establishment Document. Describe how this vision remains appropriate to the activities of the Center / Institute. If the Vision Statement is no longer appropriate for the activities of the Center / Institute, what actions will be taken?**
- V. (a) Provide the five-year list of the specific goals of the proposed center/institute that was given in the Plan to Establish.(b)Describe how each goal has been met or an explanation about how they were modified and the new goals met. Utilize the measures of productivity given in the Establishment Document where appropriate.**
- VI. (a) List the departments and faculty at UNCG that with which the proposed center / institute interacts. (b) Provide information about the effectiveness of these interactions. Include both quantitative and qualitative data including outcomes information where possible.**
- VII. (a) List the outside agencies or populations with which this center/institute interacts. (b) Provide information about the effectiveness of these interactions. Include both quantitative and qualitative data including outcomes information where possible.**
- VIII. (a) Describe any activities of advisory or policy boards, if applicable. (b) Describe how these activities have advanced the mission of the Center / Institute.**

IX. Anticipated Changes

Describe major changes anticipated during the next five years. Include the following:

- A. Size (changes in number of personnel, space)
- B. Budget (include internal versus external support)
- C. Administrative structure and governance
- D. Mission and Goals

X. Measures of Performance

Provide the following information for each fiscal year included in this review period.

A. Personnel

Number of faculty and staff, indicating percent of time associated with the center / institute:

EPA positions _____

SPA positions _____

Number of students:

Doctoral _____

Masters _____

Undergraduate _____

B. Funds (actually received during each fiscal year included in this review period)

Direct State appropriations: \$ _____

Total external support from grants and contracts: \$ _____

All other University support (overhead receipts, cost sharing, patent and licensing revenue, University allocations; provide information for each category): \$ _____

Gifts to the Center/Institute: \$ _____

Total of all sources of support: \$ _____

C. Contracts and Grants Awarded to Center/Institute

Number of awards:

Federal _____ Corporate _____ State _____ Other _____ Total awards _____

Dollar amount of awards:

Federal \$ _____

Corporate \$ _____

State \$ _____
Other \$ _____
Total awards \$ _____

D. Expenditures

Total expenditures: \$ _____

E. Publications and/or Presentations (attach list detailing authors, title, date, and venue)

Books, Journal articles, Proceedings papers or reports, presentations, etc.

Total number of publications: _____

F. Technology Transfer Activities

Include number of on invention disclosures, patent applications, patents received, and licenses providing appropriate details

G. Membership Centers Only

Number of members _____

Total amount of membership fees collected annually in each fiscal year included in this review period _____

Attach a list of member names

XI. Other evidence of the productivity of the center or institute

Form C
Request to DISCONTINUE an Institutional Center or Institute

This form must be submitted and approved prior to closing an institutional center or institute. This form may not be used to discontinue an inter-institutional center or institute.

A request to discontinue may be initiated by the individual who has primary responsibility for the center/institute (the Provost / Vice Chancellor for Academic Affairs, an Associate Provost, Dean, or Department Chair / Head.)

Reasons to discontinue a center/institute may include such things as a changing need for the center's work or research, loss of key personnel, or unavailability of funding.

Submit three copies of all materials to the Associate Provost for Research and Public / Private Sector Partnerships, 1601 HHRA, Campus

Contact Information:

Name:

Title:

Campus Address:

Campus Telephone:

FAX number:

E-Mail address:

I. General Information

Name of Center/Institute:

Organizational structure

- Center
- Institute

Proposed Status

- Institutional (UNCG campus only). Complete this form.
- Inter-Institutional (involves more than one UNC system campus)

STOP: If you checked "Inter-Institutional," you must follow a different. Contact the Associate Provost for Research and Public / Private Sector Partnerships at 256-0426 for more information.

Type of Center / Institute

- Research
- Public Service
- Instructional
- Membership

Please attach responses to the following. Provide the information on one side of the paper, 1 ½ inch left margin, all other margins 1 inch, Times Roman. Do not exceed 5 pages.

- II. Explain in detail the reasons for the request to discontinue this center or institute. Include such considerations as loss of funding, loss of key faculty or other administrators, change in mission or goals, and/or replacement by a new center/institute, etc.**
- III. Explain how an orderly termination or transfer of contractual obligations will be handled during the “phase-out” period.**
- IV. Explain efforts that will be made to find alternative employment for full time staff affected by the discontinuation.**
- V. Indicate the proposed effective termination date.**
- VI. Provide any additional information necessary to support the request to discontinue.**

Submitted by: _____

Title: _____

Signature: _____

Date: _____

APPROVALS:

Department Chair / Head Date

Dean Date

Associate Provost for Research and Public/Private Sector Partnerships Date

Provost and Vice-Chancellor for Academic Affairs Date

Chancellor Date

Chair, UNCG Board of Trustees Date