

Guidelines on Establishing and Reviewing Centers and Institutes at Florida Gulf Coast University

I. Introduction

In accordance with Florida Board of Governors (BOG) Regulation 10.015 Institutes and Centers, the Office of Research & Graduate Studies (ORGS) has developed the following guidelines for establishing a Center and/or Institute (Center/Institute) at Florida Gulf Coast University (FGCU).

A Center/Institute is an organizational entity which carries out research activities, scholarly/creative activities, university or community services, instructional activities, training programs, etc. that cannot ordinarily be accommodated within existing departmental structures. Establishment of a Center/Institute can be initiated by a faculty member, a group of faculty, Department Chair(s), Dean(s), and/or university administrator(s).

An Institute that covers a broad area may contain other more specialized units; for instance, an Institute may be comprised of several Centers or of several facilities. In general, a Center/Institute may be established as a supportive infrastructure for research and/or scholarly/creative activities in order to enhance or complement the vision, mission and goals of the BOG, University, college(s), department(s), and/or other academic units or programs. In this case, Centers/Institutes are expected to promote research and innovation; facilitate multi-/inter-disciplinary research collaboration; disseminate research findings and results by organizing conferences, meetings, workshops, etc.; enrich graduate and undergraduate student education by involving students in research project(s); provide research or training opportunities to other faculty or staff; offer faculty, staff, and students with accessibility to Center/Institute facilities; and secure extramural research funding.

BOG Regulation 10.015 Institutes and Centers, (2) Definitions, (c) Exclusions states that *"There are entities that use the term 'Institute' or 'Center' in their titles, as well as some other service units, that are excluded from this policy."* Entities approved to use the title of "Centers/Institutes" whose purpose is to provide services to the University community (i.e. FGCU faculty, students, staff, etc.) shall not be considered Centers/Institutes for the purposes of this policy. Examples of these units may include, but are not limited to, the First Year Advising Center, Testing & Assessment Center, the Center for Academic Achievement, etc. Entities approved to use the title of "Centers/Institutes" whose purpose is to provide services mainly to the community at large (i.e. non-FGCU faculty, students, staff, etc.) may or may not be considered Centers/Institutes for the purposes of this policy. Please refer to Section II.B.4 for more details.

II. Classification of FGCU Centers/Institutes

Based on different missions and roles of each Center/Institute, Centers/Institutes can be classified as:

A. State Level Center/Institute (Type I) – State of Florida Institute or Center

Pursuant to the BOG Regulation 10.015 Institutes and Centers, (2) Definitions, (a) State of Florida Institute or Center:

“An entity with a statewide mission, that may include two or more State universities, established to coordinate inter-institutional research, service, and teaching across the State University System. State of Florida institutes and centers must be approved by the Board of Governors. State of Florida institutes and centers’ operational budgets reside within the bases of their host institutions; additional budget requests must be reviewed by the CAVP, and only those with a positive recommendation are carried forward to the Board of Governors for consideration.”

Centers/Institutes at the state level are established in response to the State initiative. The Director reports to the Provost or Provost’s designee. Performance of the Center/Institute and the Director are evaluated by the Provost or Provost’s designee.

B. University Level Center/Institute (Type II)

Pursuant to the BOG Regulation 10.015 Institutes and Centers, (2) Definitions, (b) University Institute or Center, and (3) University Policies for Institutes and Centers:

“An entity that is generally established by a single university to coordinate institutional research, service, and/or educational/training activities that enhance existing instruction, research, and service at the universities. The budget of a university institute or center and any requests for additional funding are wholly within the purview of the host university.” “The University Board of Trustees must adopt policies for establishing, operating, evaluating, reviewing, and disbanding university institutes and centers in accordance with Board of Governors criteria.”

Due to different purposes, roles, scopes, and reporting requirements, university level Centers/Institutes can be further categorized as:

1. University Center/Institute (Type IIa)

University Centers/Institutes are established in response to the University initiative(s) to enhance and/or complement the university wide mission, vision and/or goals. The Director reports to the Provost or Provost’s designee. Performance of the Center/Institute and the Director are evaluated by the Provost or Provost’s designee.

2. College Center/Institute (Type IIb)

A college Center/Institute is expected to enhance faculty’s field(s) of expertise as well as the mission, vision and/or goals of the department(s), college(s), and university. The Director reports to the Dean. Performance of the Center/Institute and the Director are evaluated by the Faculty Senate GRT, Dean(s), AVPR, and Provost.

3. Centers/Institutes originated from an agreement (Type IIc)

Centers/Institutes established according to the terms and conditions of an officially executed university agreement (e.g. an endowment) abides by BOG Regulation 10.015 Institutes and Centers, FGCU Board of Trustees (BOT) Policy 2.001 Centers and Institutes, as well as the mission, vision and goals

described in the agreement. Performance of the Center/Institute and the Director are evaluated by the Provost or Provost's designee if the Center/Institute is also categorized as Type IIa (i.e. Type IIc/a). Performance of the Center/Institute and the Director are evaluated by the Faculty Senate GRT, Dean(s), AVPR, and Provost if the Center/Institute is also categorized as Type IIb (i.e. Type IIc/b).

4. For a Center/Institute whose purpose is to provide services mainly to the community at large (i.e. non-FGCU faculty, students, staff, etc.), the two categories are:
 - a) When the University
 - identifies that services provided to the community at large also complement, strengthen and/or serve the need of the University community (i.e. FGCU faculty, students, staff, etc.),
 - initiates the establishment of the Center/Institute, and/or
 - funds the Center/Institute.

This type of Center/Institute is categorized as Type IIa or Type IIc/a under the purview of this policy.

- b) When the faculty member(s), department(s), and/or college(s)
 - identifies that services provided to the community at large complement, strengthen and/or serve the need or interest of a specific group of faculty members in different program(s), department(s) and/or college(s),
 - initiates the establishment of the Center/Institute, and/or
 - secures fund(s) through the department, college, fund raising, grants, contracts, etc.

This type of Center/Institute is categorized as Type IIb or Type IIc/b under the purview of the policy.

III. Procedures for Establishing a Center/Institute

It is feasible to establish a Center/Institute when the resources are available and the establishment of the Center/Institute is consistent with the vision, mission, and goals of the University and/or College. The various academic units should be selective in establishing new Centers/Institutes.

The initial step in the review and approval for the establishment of a Center/Institute is the submission of an application proposal by the prospective Center/Institute Director to his/her Chair(s) and Dean(s). Once approved by the Dean(s), the proposal should be forwarded, by the prospective Director of the Center/Institute, to the Office of Research and Graduate Studies (ORGS). ORGS will conduct the initial review to assure the proposal conforms to regulations and procedures established by FGCU and BOG. Should the proposal be in compliance with the aforementioned it will be forwarded to the Faculty Senate Grants & Research Team (GRT) for review and recommendation. Subsequently, after reviewing recommendations and comments made by the GRT and Dean(s), if any, AVPR will make her/his own independent recommendation to the Provost. The Provost shall determine if

the proposed Center/Institute is in the best interest of the University and will present the proposal to the President's Cabinet for consideration.

The President, or designee, shall make the final determination regarding the approval of establishing a "University Level Institute or Center". A copy of the approved proposal for establishing a new "University Institute or Center (Type IIa)" containing basic descriptive, contact, and fiscal information shall be submitted by ORGS to the BOG Office of Academic and Student Affairs. In addition, annual reports must be submitted to the BOG via ORGS, generally prior to September 10 of each year.

To establish a state level "**State of Florida Institute or Center,**" please refer to BOG Regulation 10.015 (4) (a). An application to establish a state level Center/Institute shall follow the same approval procedure as described above, but must also receive approval from the University BOT and Florida BOG prior to implementation. The Provost shall prepare and submit the approved proposal to the BOT in accordance with BOG Regulation 10.015. Upon approval of the BOT the proposal shall be submitted by ORGS to the BOG Office of Academic and Student Affairs

A. Application Proposal for Establishing a Center/Institute

A written proposal requesting the establishment of a Center/Institute must be submitted to ORGS. The proposal must include the following items and substantiating documentation. The proposal is limited to fifteen (15) 8.5"x11" pages with one-inch margins on all sides, single-spaced, in Arial 11 point font.

1. Introduction
 - a) Justification of the need to establish the Center/Institute
 - b) Added value(s) to the department, college, university and/or the community
 - c) How will the Center/Institute impact and/or strengthen the existing academic programs?
 - d) Why the above cannot be achieved within existing campus academic programs and/or units
2. Vision, Mission, and Goals
3. Nature and scope of activities to be performed
4. Five-year strategic plan and expected outcomes (Attachment I)
5. Organizational structure and personnel
 - a) Director – A Center/Institute is operated under the administration of one Center/Institute Director. The Center/Institute Director will be appointed or reappointed by the Provost and/or President. The Center/Institute Director may invite other colleagues to serve as the Co-Directors.
 - b) Affiliated Members – Membership in a Center/Institute shall be defined in the application proposal or conform to specifications required by the sponsoring agency. Centers/Institutes shall not discriminate in membership or participation on the basis of race, sex, religion, national origin, age, sexual preference, or disability. Faculty or staff shall consult with one's direct supervisor (e.g., Department Chair, Dean) before committing oneself to any activities in a Center/Institute that carry workload credit.
 - c) Advisory Board – It is mandatory for each Center/Institute to establish an External Advisory Board (EAB), description of the structure and members of the EAB must be a part of the application proposal.

6. Financial resources – Justify the financial needs and anticipated sources of funding for the Center/Institute. Provide a plan and time-line for the Center/Institute to achieve financial independence and self-support.
 - a) Funding source(s)
 - b) Plan and time-line
 - c) Annual breakdowns and the total budget for five years (Attachment V)
7. Other required resources (Attachment VI)
 - a) Location of the Center/Institute
 - b) Space (e.g. location of the Center/Institute, offices, labs, size, etc.)
 - c) Equipment (>\$5,000)
 - d) Supplies and consumables
 - e) Services and service contracts

The following documents, **excluded** from the 15-page limit, must be attached to the application proposal:

- Attachment I – Five-year strategic plan and expected outcomes
- Attachment II – Organizational chart of the proposed Center/Institute
- Attachment III – Organizational chart of the External Advisory Board (EAB)
- Attachment IV – Two-page resume of the Center Director, Co-Director(s), senior personnel, affiliated members, EAB members, etc.
- Attachment V – Five-year budget plan (with projected revenues and expenditures)
- Attachment VI – Five-year projection of needs of additional resources
- Attachment VII – Letters of support (from the Department Chair, Dean, etc.)
- Attachment VIII – Other supporting documents

B. Evaluation Criteria for the Center/Institute Application Proposal

The following criteria will be used to evaluate Center/Institute proposals:

1. The potential for the enhancement of the FGCU mission and goals.
 - a) How will the Center/Institute enhance the University's mission and goals in a manner not currently accomplished by existing programs?
 - b) What unique activities, capabilities, and opportunities would be fostered with establishment of the Center/Institute?
2. Appropriateness of planned administrative and organizational structure.
 - a) Does the proposal outline to whom the Center/Institute reports?
 - b) How and where does the Center/Institute fit in the overall FGCU structure?
3. The feasibility and appropriateness of the budget plan.
 - a) Does the proposal outline a reasonable expectation of E&G funds and non-appropriated funds (research grants/contracts, fees, etc.)?
 - b) Does the proposal illustrate the potential for acquiring non-appropriated funds in addition to its current grant funding efforts?
4. Does establishment of the Center/Institute provide FGCU with a competitive advantage that enhances and/or complements the strength of our faculty/staff, research and scholarly/creative activities, and/or service areas in general?
5. Is there a need for additional space and facilities? If so, is there a plan to provide more space and a timetable for doing so?

IV. Annual Review – Continuation, Probation, or Disestablishment

In accordance with BOG Regulation 10.015 Institutes and Centers (5)(d)(2), a university level Center/Institute must have a formal review conducted at least every seven years. BOG Regulation 10.015 (5)(d)(3) requires that at a minimum, all evaluations/reviews include:

- A determination of the institute or center's progress against defined goals and objectives within the context of the institute or center's mission, participating university missions, and current Board of Governor's Strategic Plan;
- An assessment of the return on investment of State dollars, if applicable;
- The need for continuation of the Institute or Center;
- Possible changes in mission or organizational structure;
- Budget reduction or expansion;
- Recommendations for change of classification (State of Florida, Infrastructural, or University Institute/Center, if applicable); and
- Recommendations for status change (active, inactive, terminated), if applicable.

FGCU's regional accreditor, The Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), also requires centers and institutes to demonstrate their effectiveness through comprehensive standard 3.3.1 which states in part:

"The institution identifies expected outcomes, assesses the extent to which it achieves these outcomes, and provides evidence of improvement based on analysis of the results."

Consequently to ensure compliance with SACSCOC standards and Board of Governors' expectations, each center/institute will be reviewed to establish an ongoing record of activity, and to ensure the activities of a Center/Institute are current and fiscally sound. The formal annual review and evaluation will include an annual report supplement to the Web-based BOG annual reporting requirement, and will be conducted through the GRT and ORGS. Only Centers and Institutes that have received formal designation as defined in this policy are subject to these ongoing review procedures. All other university entities will follow the reporting requirements contained in university policy 2.010.

A. Annual Report

By the second Monday of September of each year, Center/Institute Directors shall report the activities and financial condition of the Center/Institute during the past fiscal year. The Director shall submit the annual report to ORGS. ORGS is responsible for coordinating the effort of annual review and evaluation of all FGCU Centers/Institutes. The Center/Institute Director is solely responsible for providing all necessary details in the annual report. An acceptable report must demonstrate defined outcomes, the assessment of attainment of those outcomes, and efforts made to use the results of the assessment to improve the attainment of goals of each Center/Institute.

Moreover, the Director shall convene the EAB at least once a year to review the performance and productivity of the Center/Institute during the past year, provide recommendations for the advancement and progress of the Center/Institute, review

the annual report of the Center/Institute, etc. Minutes of the EAB meetings must be attached to the Annual Report.

B. Annual Evaluation

Specific review and evaluation criteria for each Center/Institute may include, but are not limited to: annual achievements in support of the BOG and FGCU vision, mission, and goals; viability and sustainability; accountability; implementation of last year's recommendations from all levels, etc. As a result of the annual review and evaluation, a Center/Institute may be granted one of the three statuses: Continuation, Probation, or Disestablishment.

A highly achieving and performing Center/Institute shall be recommended to "Continue." For a Center/Institute that consistently demonstrates superior performance and a high level of productivity, the GRT may recommend to the AVPR that the Center/Institute Director submit a summary report for the following year. Once approved by the AVPR, the Center/Institute Director will only need to submit a summary of accomplishments resulted from the last year in place of the full annual report.

A Center/Institute that fails to fulfill its vision, mission, and/or goals shall be recommended to be placed on "Probation" or "Disestablishment." If a Center/Institute receives the status of "Probation" twice in five consecutive years, it may result in the disestablishment of the Center/Institute. To exit from "Probation," the Director of the Center/Institute must take immediate actions to address all recommendations and comments raised by the EAB, GRT, Dean(s), AVPR, and/or the Provost. The progress must be documented in the annual report of the following year.

After reviewing recommendations and comments made by GRT and Dean(s), if any, the AVPR will make his/her own independent recommendation to the Provost. Final determination to continue, to place the Center/Institute on probation, or to disestablish a Center/Institute resides with the Provost and/or President.

When a Center/Institute is disestablished, ORGS shall notify the Director, Dean(s), and the Office of Academic and Student Affairs in the BOG office.

V. Five-Year Review – Renew or Sunset

All Centers/Institutes are authorized for an initial period of five years. In addition to the annual review, each Center/Institute is subject to a five-year review. The five-year review is a comprehensive review and evaluation of the overall performance, productivity, viability, accountability, etc., of a Center/Institute during the last five years. The five-year review may lead to the change (e.g. vision, mission, goals) of the Center/Institute, or sunset as the need or resources dictate. The five-year review will determine whether the Center/Institute will be "Renewed" for another five years or "Sunset" at the end of the sixth year of its establishment or last renewal.

ORGS is responsible for coordinating the effort of five-year review and evaluation of all FGCU Centers/Institutes. The Center/Institute Director is solely responsible for providing all necessary details in the annual report. After reviewing recommendations and comments

made by GRT and Dean(s), if any, the AVPR will make his/her own independent recommendation to the Provost. Final determination to renew or sunset a Center/Institute resides with the Provost and/or President.

When a Center/Institute is sunset, ORGS shall notify the Director, Dean(s), and the Office of Academic and Student Affairs in the BOG office.

VI. Administrative and Financial Oversight

The Provost and/or Provost's designee oversees the operation, performance, and financial soundness of all Centers/Institutes at FGCU. Additionally, each Center/Institute must have day-to-day administrative and financial oversight provided by the Director as well as by the department/school/college in which it was established. One of the major responsibilities of the Center/Institute Director and Dean is the oversight of the Center/Institute budget, which entails compensating the University for excessive expenditures of the Center/Institute.

VII. Annual Reporting to BOG

Pursuant to the BOG Regulation 10.015.(5) Institute and Center Reporting Requirements, each Center/Institute established at FGCU must submit an annual report to the BOG online Institute and Center Reporting database no later than September 30 of each year. The report must include the activities, actual and estimated expenditures, and position data for the fiscal year running from July 1 of the previous year to June 30 of the current year. Prior to submitting the report, ORGS will review the report and, once deemed to be in compliance with BOG procedures, submit the report to the BOG online Institute and Center Reporting database on behalf of the Center/Institute Director.

VIII. Conclusion

All information pertaining to FGCU Centers/Institutes shall be maintained by the following offices:

- Type I, Type IIa and Type IIc – ORGS maintains the original documents
- Type IIb – The Dean's Office maintains the original documents

ORGS shall be the primary contact for University faculty and staff in providing information, appropriate forms, and application procedures related to Centers/Institutes in general.

Application for the Establishment of a Center/Institute at FGCU

Name of the Center/Institute:

Host College Submitting the Application:

Proposed Implementation Date: July 1, 20_____

Proposed Center/Institute Director:

Department/Unit:

College/Division:

FGCU email:

FGCU Phone #:

Classification of Center/Institute:

Type I – State Level: (*reports to Provost/designee*)

Type II – University Level: University Center/Institute – Type IIa (*reports to Provost/designee*)

College Center/Institute – Type IIb (*reports to Dean*)

Endowed Center/Institute – Type IIc (*reports to Provost/designee*)

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APPROVED BY

President Date

Provost & Vice President for Academic Affairs Date

Vice President for Administrative Services & Finance Date

Associate VP for Research & Dean of Graduate Studies Date

Dean or Provost/Designee to whom the Director reports to Date

FGCU Center/Institute Annual Review Routing Form

IMPORTANT DEADLINES (2nd Monday of the following months)

- September** Director of each Center/Institute submits the Annual Report (see "Instructions on FGCU Center/Institute Annual Report") to his/her supervisor (e.g., Dean) **AND** to ORGS (research@fgcu.edu).
- October** (**OPTIONAL**) Dean, or Center/Institute Director's supervisor, submits input and recommendations (Continuation, Probation, Disestablishment, or Sunset) to ORGS (research@fgcu.edu).
- January** Faculty Senate Grants & Research Team (GRT) completes its annual review and forwards recommendations to the Associate Vice President for Research (AVPR).
- February** AVPR completes his/her annual review and forwards recommendations to the Provost & Vice President for Academic Affairs (Provost) with a copy to the Center/Institute Director and the Director's supervisor respectively.
- March** Dean, or Center/Institute Director's supervisor, submits his/her appeal to the AVPR regarding the review result (e.g., to disestablish or sunset a Center/Institute).
- May** Provost makes the final determination on disestablishing or sunsetting a Center/Institute. AVPR will notify the Dean, or the supervisor of the Center/Institute Director, of the final determination made by the Provost.

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Annual Review Period: Fiscal Year 20____ – 20____

Center/Institute:

Director:

Department/Unit:

College/Division:

FGCU email:

FGCU phone #:

SIGNATURE

Faculty Senate Grants & Research Team

Recommendation: Continuation Probation Disestablishment * Sunset
or, Voting Result: ____ Continuation ____ Probation ____ Disestablishment/*Sunset

GRT Chair Signature: _____ **Date:** _____

Associate Vice President for Research

Recommendation: Continuation Probation Disestablishment * Sunset

Signature: _____ **Date:** _____

Provost & Vice President for Academic Affairs

(**Optional** for continuation or probation. **Required** for disestablishment or sunset)

Final Decision: Continuation Probation Disestablishment * Sunset

Signature: _____ **Date:** _____

* For five-year review only

FGCU Center/Institute Five-Year Review Signature Form

Important Deadlines (2nd Monday of the following months)

- September** Center/Institute Directors submit the Annual Report to ORGS (research@fgcu.edu) with a copy to one's own Dean.
- October** Dean submits input, at his/her discretion, to the Associate Vice President for Research (AVPR).
- January** Faculty Senate Grants & Research Team (GRT) completes its annual review and forwards recommendations to the AVPR.
- February** AVPR completes his/her annual review and forwards recommendations to the Provost & Vice President for Academic Affairs (Provost) with a copy to the Center/Institute Director and the Director's Dean respectively.
- March** Dean, at his/her discretion, submits the appeal regarding the recommendation of disestablishing or sunsetting a Center/Institute to the AVPR.
- May** Provost makes the final determination on disestablishing or sunsetting a Center/Institute. AVPR will notify the Dean and Center/Institute Director the final determination made by the Provost.

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5-Year Review Period: Fiscal Year 20____ – 20____

Center/Institute:

Director:

Department/Unit:

College/Division:

FGCU email:

FGCU phone #:

Dean (optional, refer to the Center/Institute Annual Report)

Recommendation: Renew Sunset

Faculty Senate Grants & Research Team

Voting Result: ____ Renew ____ Sunset

GRT Chair: _____ **Date:** _____

Associate Vice President for Research

Recommendation: Renew Sunset

Signature: _____ **Date:** _____

Provost & Vice President for Academic Affairs (optional, but required for sunset)

Final Decision: Renew Sunset

Signature: _____ **Date:** _____