

	FGCU POLICY 2.001	Responsible Unit: Office of Research and Graduate Studies
	Centers and Institutes	

A. POLICY STATEMENT

Centers and Institutes (“Centers/Institutes”) constitute an important element in furthering Florida Gulf Coast University’s (“FGCU”) mission of learning, engagement, and scholarship by providing a specialized focus of activity that contributes to the fulfillment of University goals and objectives. Centers and Institutes serve the role of incubator where innovation may be cultivated leading to the creation of new knowledge.

Centers/Institutes are organized structures that focus on domains of knowledge that reside within a discipline or are cross-disciplinary in scope. Centers/Institutes may be established to develop new areas of research, encourage cross-disciplinary and multidisciplinary approaches to teaching and scholarship, provide a more relevant focus for services, and promote the sharing of resources. These structures strengthen the University’s credibility to funding agencies as well as to other external sponsors. Centers/Institutes provide an interface for faculty-student-public collaboration and contribute to the economic and social wellbeing of the region, the State of Florida, and beyond.

To serve the diverse needs of the University, the emphasis of individual Centers/Institutes may vary. Centers/Institutes at FGCU may conduct different activities such as research service, training, etc. Each Center/Institute will be evaluated based on its performance in line with the vision, mission, and goals of the University and the Florida Board of Governors (“BOG”). This Policy sets forth the conditions and process by which FGCU will establish, review, and evaluate Centers/Institutes. The FGCU Board of Trustees (“BOT”) has authorized the President to develop and implement “University Institutes and Centers.”

B. REASON FOR POLICY

This Policy is necessary to comply with BOG Regulation 10.015, Institutes and Centers, which provides a consistent set of criteria and procedures that will allow for the formal approval to establish Centers/Institutes at FGCU with periodic review and evaluation. By so doing, FGCU will ensure that all Centers/Institutes operating under its auspices are viable, sustainable, and accountable for achieving their respective missions, and capable of fulfilling the stated vision and goals.

C. DEFINITION OF TERMS

1. *Annual Report*: The report that documents activities and the financial condition of the Center/Institute during the past fiscal year as well as recommendations made by the Center/Institute’s External Advisory Board. The report must be submitted by the

Center/Institute Director to their Dean/supervisor and to the Associate Vice President for Research and Dean of Graduate Studies (“AVPR”) no later than the second Monday of September each year.

2. *Annual Review*: A yearly review to evaluate the performance, productivity, and Annual Report of a Center/Institute. The Dean or division/unit head will conduct an initial review on Centers/Institutes that report to him or her and submit his or her recommendation to the AVPR. The recommendation will be shared with the Faculty Senate Grants and Research Team (GRT), which subsequently conducts its Annual Review and makes its recommendation to the AVPR. The AVPR will review and make his or her independent recommendation on the status to the Provost.
3. *Center*: A subordinate unit within an existing department, college, or institute. Interdisciplinary Centers may report to the Provost and Vice President for Academic Affairs (“Provost”), Provost’s designee, or President. Centers should make a significant contribution to the major academic unit of which they are a part. A Center, sometimes one of several to form an Institute, furthers research, scholarly/creative activities, and public service in a designated field; or primarily provides facilities and resources for other departments and units.
4. *Continuation*: The status recommended for an achieving and performing Center/Institute that successfully passes its Annual Review. The final decision resides with the Provost.
5. *Disestablishment*: The status recommended for a Center/Institute that fails to pass its Annual Review or receives the status of “probation” twice in five (5) consecutive years. The final decision resides with the Provost.
6. *Five-Year Review*: Similar to the Annual Review process, a five-year comprehensive review is conducted to evaluate the overall performance, productivity, viability, accountability, etc. of the Center/Institute. The Five-Year Review may lead to renewing the Center/Institute, modifying the Center/Institute’s vision, mission, or goals, or sunsetting the Center/Institute as the need or resources dictate.
7. *Institute*: A distinct unit of substantial size that may engage in a wide variety of research, scholarly/creative activities, public service, and instructional activities, typically in areas of broad concern. Institutes are frequently interdisciplinary and embrace ideas and personnel from various departments, colleges, and schools. An Institute is a major unit that coordinates and promotes faculty and student research and scholarly/creative activities on a continuing basis over a wide area that extends across department(s), college(s), and perhaps beyond campus boundaries. An Institute may also engage in public service activities within the limits of its stated objectives.
8. *Probation*: The status recommended for a Center/Institute that fails to perform or to fulfill its vision, mission, or goals in its Annual Review. The final decision to place a Center/Institute on Probation resides with the Provost.

9. *Renewal*: The status recommended for an achieving and performing Center/Institute that successfully passes its Five-Year Review. The final decision resides with the Provost.
10. *Sunset*: The status recommended for a Center/Institute that fails to pass its Five-Year Review. The Center/Institute Director, Dean or division/unit head, AVPR, or Provost may choose to terminate a Center/Institute due to the completion of the Center/Institute's mission or lifecycle, the lack of resources to support it, a change in societal interests, etc. The final decision resides with the Provost.

D. PROCEDURES

Detailed processes and conditions to establish and review a Center/Institute are described in "Guidelines on Establishing and Reviewing Centers and Institutes at FGCU," which can be found on the Office of Research and Graduate Studies' website.

1. Conditions to Establish

In summary, a Center/Institute must:

- a) Align its vision, mission, and goals with the vision, mission, goals, and strategic plans of FGCU and the BOG;
- b) Have a critical mass of faculty and staff to attain its vision, mission, and goals;
- c) Be led by a qualified and competent Director;
- d) Have adequate resources and space to operate; and
- e) Demonstrate viability, accountability, continuity, and quality.

In no case may a Center/Institute be operated in the absence of approval from the Provost or President. Once a Center/Institute is formally established, the Center/Institute Director, in accord with established procedures, must submit an application to the AVPR for any proposed change to the name, vision, mission, or goals of the Center/Institute. In certain instances, state approval may also be necessary.

2. Review Process

Following the establishment of a Center/Institute, an Annual Review and a Five-Year Review will take place according to the procedures described in the *Guidelines on Establishing and Reviewing Institutes and Centers*, found on the Office of Research and Graduate Studies website. As a result of the Annual Review, a Center/Institute will be granted the status of "Continuation," "Probation," or "Disestablishment." The result of a Five-Year Review can be either "Renewal" or "Sunset."

3. Disestablishment or Sunset

The decision to disestablish or Sunset a Center/Institute may originate from the Director of the Center/Institute, Dean(s) or division/unit head to whom the Center/Institute Director reports to, the Provost or Provost's designee, or the President. A final determination as to the status of a Center/Institute resides with the Provost and/or President.

E. APPEAL PROCESS

1. In the event the request to establish a Center/Institute is denied or a Center/Institute is recommended for Disestablishment or Sunset, the Center/Institute Director may appeal through the Dean or division/unit head, who is responsible for submitting the appeal file to the AVPR. The Center/Institute Director must submit a detailed letter of request for appeal to his or her Dean or division/unit head for initial review and approval. The letter of request for appeal will then be submitted to the AVPR through the Dean or division/unit head.
2. The deadline to submit the letter of request for appeal to the AVPR for establishing a Center/Institute is within sixty (60) calendar days after receiving the notice of denial from the AVPR. The deadline to submit the letter of request for appeal to the AVPR for disestablishing or sunsetting a Center/Institute is the second (2nd) Monday of March each year.
3. Final determination on establishing, disestablishing, or sunsetting a Center/Institute resides with the Provost and/or President. The AVPR will notify the Dean and Center/Institute Director of the final determination made by the Provost.

Specific Authority

BOG Regulation 10.015, Institutes and Centers

BOG Regulation 1.001, University Board of Trustees Powers and Duties

History of Policy

New 04/27/2004; Amended 10/19/04; Amended 11/08/05; Amended 01/21/09; Amended 09/21/18; Format Changed 09/10/19

APPROVED

*s/Michael V Martin
Michael V. Martin, President

September 21, 2018
Date