

**Florida Gulf Coast University Board of Trustees  
January 20, 2009**

**SUBJECT: FGCU Policy 2.11 Centers and Institutes in accordance with Board of Governors (BOG) Regulation 10.015 Institutes and Centers**

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**PROPOSED BOARD ACTION**

Approve revised Florida Gulf Coast University (FGCU) Policy 2.11 Centers and Institutes in accordance with BOG Regulation 10.015.

**BACKGROUND INFORMATION**

In December 2007 the Board of Governors established BOG Regulation 10.015 pertaining to state university system Institutes and Centers. The Regulation requires each University Board of Trustees (UBOT) to adopt policies for establishing, operating, evaluating, reviewing, and disbanding university institutes and centers in accordance with BOG criteria. FGCU has had such a policy in place since April 27, 2004 and has recently amended the policy to be in accordance with BOG Regulation 10.015.

In order to comply with this Regulation, it is recommended that the University Board of Trustees approve the amended FGCU Policy 2.11 Centers and Institutes.

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**Supporting Documentation Included:** (1) BOG Regulation 10.015 Institutes and Centers, and (2) FGCU amended Policy 2.11 Centers and Institutes

**Prepared by:** Associate Vice President for Research Thomas J. Roberts

**Legal Review by:** General Counsel Vee Leonard (December 9, 2008)

**Submitted by:** Provost and Vice President for Academic Affairs Ronald B. Toll

## **BOG Regulation 10.015 Institutes and Centers**

(1) In order to ensure that institutes and centers implemented within state university system are of the highest quality, enhance existing university activities, and are aligned with the goals of the Board of Governors, the following criteria and guidelines for institutes and centers are established.

(2) **Definitions** - Within the context of these regulations, institutes and centers are defined as follows:

(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.

(b) **University Institute or Center:** 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.

(c) **Exclusions:** 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. Examples of these units include the Institute of Food and Agricultural Sciences (IFAS); the University of Florida Health Sciences Center; the University of South Florida Health Sciences Center; the Florida State University Health Sciences Center; the Florida Mental Health Institute; incorporated institutes and centers with university affiliations, such as the Institute for Human and Machine Cognition and the H. Lee Moffitt Cancer Center and Research Institute; and university advising, student health, computing, and certain other centers. However, entities such as IFAS and the health sciences centers may have institutes or centers under their purview that are covered by the policies referenced in this document.

(3) **University Policies for Institutes and Centers** - 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. University policies shall specify whether the university president or provost has been designated by the trustees to grant authorization for the development and implementation of university institutes and centers. A current copy of university institute and center policies shall be on file in the Office of Academic and Student Affairs in the Board of Governors office.

(4) **Establishment of Institutes or Centers** –

(a) To establish a State of Florida Institute or Center, the provost of the host university shall prepare and submit a proposal to the board of trustees of the host

university for approval. Approved proposals shall be submitted to the Office of Academic and Student Affairs in the Board of Governors office.

1. The proposal shall specify the purpose of the organization, the need and demand to be a State of Florida institute or center, consistency with the Board of Governors Strategic Plan, and funding resources. The proposal shall also include a draft of the proposed Memorandum of Understanding, which has been ratified by the presidents of all affiliated institutions. The Memorandum of Understanding shall contain, at a minimum:

- a. The name of the institute or center;
- b. The identification of the host institution and participating institutions;
- c. The mission of the institute or center;
- d. Guidelines for appointing, funding, supervising, and evaluating the director of the institute or center;
- e. The criteria for appointments to the institute or center's advisory board, including terms, roles, authority, and, if known, current numbers;
- f. Expectations for the administrative and logistical support for the institute or center, including expectations regarding the reimbursement to the host university for direct costs of administrative services rendered by the university to the institute or center;
- g. Procedures at the institutional level for recommending increases/decreases in the appropriation of State funds for the institute or center;
- h. Specifications for the processing of contracts and grants, including the percentage of overhead funds to be returned to the institute or center; and
- i. Expectations and criteria for the cyclic review of the institute or center and other planning and expectations for its operation.

(b) After review by Board of Governors staff the proposal will be forwarded to the Council of Academic Vice Presidents for approval and recommendation to the Chancellor. The Chancellor would then determine whether or not this proposal should be carried forward to the Board of Governors. Any institute or center must receive full approval from the Board of Governors prior to implementation to receive State of Florida status.

(c) University institutes and centers shall be established in accordance with university policy. A copy of an approved new university institute or center proposal containing basic descriptive, contact, and fiscal information shall be submitted to the Office of Academic and Student Affairs. In cases where more than one university is participating, a host university is designated to handle reporting and evaluation of the institute or center.

#### **(5) Institute and Center Reporting Requirements -**

(a) The Office of Academic and Student Affairs in the Board of Governor's Office shall provide an online Institute and Center Reporting database, which will also serve as the official inventory of approved State University System Institutes and Centers.

(b) Initial Reporting – Upon receipt of notification that a record has been created for the institute or center in the Institute and Center Reporting database, the host university shall enter descriptive and budgetary information in accordance with instructions provided by the Office of Academic and Student Affairs.

(c) Annual Reporting - No later than September 30 of each year actual and estimated expenditure and position data shall be entered in the database for the fiscal year running from July 1 of the previous year to June 30 of the current year, in accordance with instructions provided by the Office of Academic and Student Affairs. Prior to submission to the Office of Academic and Student Affairs in the Board of Governors office, all annual reporting information must be approved by the Board of Trustees of the host university or its designee.

(d) Evaluation / Review – Copies of all evaluation/review information shall be submitted to the Office of Academic and Student Affairs in the Board of Governors office.

1. State of Florida institutes and centers shall be reviewed based on criteria and procedures established below and within the Memorandum of Understanding. External consultants may be used in the review process. At a minimum, each State of Florida institute or center shall be reviewed every five years by the host institution. A copy of the review will be provided to the Council of Academic Vice Presidents to inform any related budget recommendations.

2. University institutes and centers must be reviewed according to university institute and center policies. A formal review shall be conducted at least every seven years.

3. At a minimum, all evaluations/reviews shall include:

a. A determination of the institute or center's progress against defined goals and objectives within the context of the institute or center's mission, the participating university missions, and the current Board of Governor's Strategic Plan;

b. An assessment of the return on investment of State dollars, if applicable;

c. The need for continuation of the institute or center;


d. Possible changes in mission or organizational structure;

e. Budget reduction or expansion;

f. Recommendations for change of classification (State of Florida, Infrastructural, or University institute or center), if applicable; and

g. Recommendations for status change (active, inactive, terminated), if applicable.

**(6) Disbanding an Institute or Center** – University institutes and centers shall be disbanded at the request of the host university with the agreement of participating universities. State of Florida institutes and centers shall be disbanded at the recommendation of the Council of Academic Vice Presidents and upon the approval of the Board of Governors. When an institute or center is disbanded, the host university shall notify the Office of Academic and Student Affairs in the Board of Governors office. If a disbanded institute or center has been funded by the Legislature, the university must provide documentation to ensure that Legislative intent has been achieved and that the institute or center is no longer required. Fiscal information must be provided as part of the annual reporting process if the institute or center expends any funds during the fiscal year in which it is disbanded.

	<b>Florida Gulf Coast University</b> Policy Manual	<b>Policy:</b> 2.11
	<b>Title</b> <i>Centers and Institutes</i>	<b>Responsible Executive:</b> <i>Provost and VP Academic Affairs</i> <b>Responsible Office:</b> <i>Research and Sponsored Programs</i>

**POLICY STATEMENT**

Centers and Institutes constitute an important element in furthering Florida Gulf Coast University’s (“FGCU”) mission of learning, engagement, and scholarship by providing a specialized locus of activity that contributes to the fulfillment of college goals and objectives. Centers and Institutes can serve the role of crucible where innovation may be forged and lead to the creation of new knowledge. Center and Institute activities may take the form of sponsored research, intra-or inter-institutional research, service, or training activities that complement existing unit-based instruction, scholarship or service programs. Such entities provide an interface for faculty-student-public collaboration and contribute to the economic and social well being of the region, the State of Florida, and beyond. This policy sets forth the conditions and process by which FGCU will establish, review, and disestablish Centers and Institutes. The Florida Gulf Coast University Board of Trustees has authorized the President to develop and implement university centers and institutes.

**REASON FOR POLICY**

This policy is necessary to comply with Board of Governors (BOG) Regulation 10.015 Institutes and Centers, and to provide a consistent set of criteria and procedures that will allow for the formal approval and review of proposals to establish Centers and Institutes. By so doing, FGCU will ensure that all Centers and Institutes operating under its auspices are viable, capable of fulfilling their stated purposes and goals, and are accountable for the ongoing achievement of their respective missions.

**WHO SHOULD READ THIS POLICY**

The following individuals and groups should be familiar with this policy:-

- Academic Officers, Deans, Program Directors and Department Heads
- Faculty

**PROCEDURES**

The conception for a Center or Institute can arise from a variety of sources, including:

- Faculty within a division or department in a single college
- Faculty from several colleges or divisions within a college who share a common interest(s)
- A dean or several deans
- The Provost and Vice President for Academic Affairs
- The President

Conditions to Establish

All Centers and Institutes must be housed in a college and report to a dean Dean. This relationship is necessary to ensure that the Center/Institute is thoroughly grounded in a firm disciplinary and support base and provides opportunities for students. Only in extraordinary circumstances will another reporting relationship be considered (e.g., reporting directly to the Provost or the President). All Centers and Institutes will be required to demonstrate they possess a clear mission aligned with the FGCU mission and strategic plan; have a critical mass of faculty and staff to support attainment of that mission; currently or potentially have resources necessary to operate for an extended period; are led by an appropriately qualified director or co-directors; have adequate space to operate; and have established appropriate accountability mechanisms. The process by which FGCU will determine these conditions are met -(and continue to be met after initial approval) is described in the attached document. In no case may a Center or Institute be established and operate in the absence of Presidential approval. Once established, no Center or Institute will change its name or purpose without first receiving formal approval by the President. In certain instances, state approval may also be necessary. Please consult with the Office of Research and Sponsored Programs.

Review Process

Following the establishment of a Center or Institute, periodic reviews will occur as the following needs dictate:

- State reporting/review requirements
- Decanal accountability reviews
- Provost accountability reviews
- Specialized or regional accreditation demands
- Presidential reviews

Disestablishment All Centers and Institutes follow a lifecycle that eventually leads to change or disbandment as societal interests change or resources dictate. The decision to disband may originate from those directly affiliated with the Center or Institute, the dean or deans to whom the Center or Institute report, the Provost, or the President. The results of reviews described above may also lead to a decision to disband if the viability or relevancy of the Center or Institute is called into question. A decision to disband must follow procedures established by the Office of Research and Sponsored Programs.

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**DEFINITION  
OF TERMS**

Centers and Institutes are organized structures that focus on domains of knowledge that reside within a discipline or are cross-disciplinary in scope. Centers and Institutes may help to develop new areas of research that are relevant to external constituencies, encourage cross-disciplinary and multidisciplinary approaches to teaching and scholarship, provide more relevant focus for service to external constituencies, and promote the sharing of resources. These structures strengthen credibility to funding agencies as well as to other external sponsors.

There are two types of Centers/Institutes:

- **State of Florida Institute or Center:** ~~Type I has statewide missions and may be specifically authorized/established and/or funded by the Legislature. 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 BOG for consideration.~~
- ~~Type II is established by a single university, although sometimes more than one. They expend appropriated State funds as a result of legislative or university decision, and they may expend other funds (i.e., non-appropriated funds, such as contracts and grants, fees, etc.).~~  
**University Institute or Center:** 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



**Guidelines for Establishing an SUS-BOG Approved Institute/Center  
at  
Florida Gulf Coast University**

**Introduction**

In accordance with Florida Board of Governors (BOG) ~~Resolution dated October 22, 2003, Florida Administrative Code Rule 6C-3.001, System-wide Uniform Procedures, as adopted by the Florida Board of Governors on January 7, 2003, and Chancellor Debra Austin Memorandum dated July 27, 2004~~Regulation 10.015, Florida Gulf Coast University (FGCU) has established the following guidelines for developing a Center and/or Institute.

Centers and Institutes focus on domains of knowledge that reside within a discipline or are cross-disciplinary in scope. These are organizational mechanisms that can be used to provide greater depth in teaching and/or research to a narrower band of problems within a discipline, or to apply a broader vision to problem sets that cross traditional knowledge boundaries. Centers and Institutes may help to develop new areas of research that are interesting to the faculty and relevant to external constituencies, encourage cross-disciplinary and multidisciplinary approaches to teaching and research, provide more relevant focus for service to external constituencies, and promote the sharing of resources. Center/Institute status provides visibility for, and tangible evidence of, a formalized structure for an activity that strengthens its credibility to funding agencies as well as to other external sponsors.

**Center/Institute Authorization**

It is appropriate and desirable to create a Center/Institute when the resources are available and when the establishment of such is consistent with the mission and long range plans of a college and the University. The various academic units should be selective in creating new Institutes/Centers. Toward this end, a review and approval process has been established by the University that complements the ~~Florida Board of Governors~~BOG Regulation 10.015 procedure and assures that the University is fully aware and supportive of the proposed activity.

The initial step in the review and approval process for establishment of an Institute/Center is the approval of the respective chairs and deans. After department and college reviews have occurred, the proposal should be forwarded to the Office of Research and Sponsored Programs. The proposal shall be reviewed to assure conformity to ~~Florida Board of Governors~~BOG policy regulation and procedures. Should the proposal be in compliance with the aforementioned it will be forwarded to the Grants & Research Team of the Florida Gulf Coast University Faculty Senate for review and recommendation to the Provost and Vice President for Academic Affairs (VPAA). The VPAA shall determine if the proposed Center/Institute is in the best interest of the University and will present the proposal to the ~~FGCU Executive Group~~President's Cabinet for consideration. The President shall make the final determination regarding the

approval of an University Institute or Center at the University level. A copy of an approved new university institute or center proposal containing basic descriptive, contact, and fiscal information shall be submitted to the Board of Governors Office of Academic and Student Affairs. In addition, annual reports must be submitted to the Board of Governors, generally prior to September 30 of each year.

A State of Florida Institute or Center shall follow the same approval procedure, but must also receive approval from the University Board of Trustees and Board of Governors prior to implementation. The Provost shall prepare and submit the approved proposal to the University Board of Trustees in accordance with BOG Regulation 10.015. Upon approval of the University Board of Trustees the proposal shall be submitted to the Board of Governors Office of Academic and Student Affairs. Type I (State of Florida) Institute or Center approvals must be forwarded to and approved by the Florida Board of Governors prior to implementation. Type II Institute or Center approval shall be made at the campus level; however, a statement of intention to establish a Type II Center or Institute must be provided to the Board of Governors prior to implementation. In addition, annual reports must be submitted to the Board of Governors, generally prior to December 1 of each year.

#### Criteria Used for Assessment

The following criteria will be used for assessing Center/Institute proposals:

#### **FGCU Specific Criteria:**

- 1) The potential for the enhancement of the FGCU mission. How will establishment of the Center/Institute enhance the University mission in a manner not currently accomplished by existing programs? What unique research capabilities and opportunities would be fostered with establishment of the Center/Institute?
- 2) Appropriateness of planned administrative and organizational structure. Does the proposal outline to whom and through whom the Institute/Center reports? How and where does the Center/Institute fit in the overall FGCU structure?
- 3) The feasibility and appropriateness of the budget plan. Does the University Type I or Type II State of Florida Institute/Center proposal outline a reasonable expected amount of E&G funds to non-appropriated funds (contracts and grants, fees, etc.)? Does the ~~Type II~~ University Institute/Center proposal illustrate the potential for acquiring non-appropriated funds not available through current grant funding efforts?
- 4) Does establishment of the Institute/Center provide FGCU with a competitive advantage in some fashion that highlights and complements the strength of our faculty/staff and our service area 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?

### **Institute/Center Reviews**

#### **Annual Reporting to BOG:**

Each Institute and/or Center established at FGCU must submit an annual report via a Web based reporting system established through the BOG to the Office of Research and Sponsored Programs, each year for ~~The report will cover the previous fiscal year (July 1 – June 30) activities.~~ The report will be in compliance with Florida Board of Governors procedures. ~~Once~~ The Office of Research and Sponsored Programs ~~Programs will review submitted reports and once deemed to be in s~~ the report to be in compliance with Florida Board of Governors procedures the completed annual report will be submitted to the Board of Governors utilizing the Web based reporting system. ~~it will be forwarded to the VPAA for final review and approval. The VPAA shall forward the completed annual report to the Board of Governors.~~

#### **Evaluation:**

In accordance with BOG Regulation 10.015 University institutes or centers must have a formal review conducted at least once every seven years. In an effort to stay apprised of institute/center activity, establish an ongoing record of activity, and to ensure activities of an institute/center are current and fiscally sound, a formal review will be conducted annually. The formal review and evaluation will include an annual report supplement to the Web based BOG annually reporting requirement, and will be conducted through the Grants and Research Team at FGCU. At a minimum, the review will include the criteria used for assessment and will be provided to the BOG at least once every seven years. Should the viability or relevancy of a University Center or Institute be called into question during the annual review, the Office of Research and Sponsored Programs shall consult with the Center/Institute Director to consider voluntary disbandment. The Center/Institute Director may voluntarily disband the Center/Institute and phase out related activities. Should voluntary disbandment of a Center/Institute not occur, the Provost and Vice President for Academic Affairs shall make the final determination in regard to disbandment of a University institute or center.

#### **Board of Governor Specific Criteria Used for Assessment:**

- 1) 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.
- 2) An assessment of the return on investment of State dollars (if applicable).
- 3) The need for continuation of the institute or center.

- 4) Possible changes in mission or organizational structure.
- 5) Budget reduction or expansion.
- 6) Recommendations for change of classification (State of Florida, Infrastructural, or University institute or center) if applicable.
- 7) Recommendations for status change (active, inactive, terminated), if applicable.

### **Conclusion**

All information pertaining to FGCU Institutes and/or Centers shall be maintained in ~~the~~ its Office of Research and Sponsored Programs. The Office of Research and Sponsored Programs shall be the primary contact for University faculty and staff in providing information, appropriate forms and application procedures. Please contact the Office of Research and Sponsored Programs for further information pertaining to this process.