

	<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.

**REASON FOR POLICY**

This policy is necessary 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. 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.

**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:

- *Type I* has statewide missions and may be specifically authorized/established and/or funded by the Legislature.
- *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.).

**HISTORY**

Approved on April 27, 2004, amended October 19, 2004.

**APPENDICES**

See attached "Guidelines for Establishing an SUS Approved Institute/Center at Florida Gulf Coast University".

**APPROVED:**

s: William C. Merwin  
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 President

October 19, 2004  
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 Date

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

**Introduction**

In accordance with Florida Board of Governors 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, 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, Division of Colleges and Universities procedure, and assures 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. Once 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, Division of Colleges and Universities, policy and procedures. Should the proposal be in compliance with the aforementioned it will be forwarded 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 Staff for consideration. The President shall make the final determination regarding the approval of an Institute or Center at the University level. Type I (State of Florida) Institute or Center approvals must be forwarded to the Florida Board of Governors, Division of Colleges and Universities

and approved by the 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 Division of Colleges and Universities prior to implementation. In addition, annual reports must be submitted to the Division of Colleges and Universities prior to September 30 of each year.

### **Criteria Used for Assessment**

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

- 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 Type I or Type II 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 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**

Each Institute and/or Center established at FGCU must submit an annual report to the Office of Research and Sponsored Programs by August 31 of each year for the previous fiscal year (July 1 – June 30). The report will be in compliance with Florida Board of Governors, Division of Colleges and Universities procedures. Once the Office of Research and Sponsored Programs deems the report to be in compliance with Florida Board of Governors, Division of Colleges and Universities procedures it will be forwarded to the VPAA for final review and approval. The VPAA shall forward the completed annual report to the Division of Colleges and Universities.

**Conclusion**

All information pertaining to FGCU Institutes and/or Centers shall be maintained in the 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.

ARCHIVED