



Institutional Centers and Institutes General Guidelines, Procedures, and Forms

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(Repealed and Replaced December 2, 2010)
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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 centers and institutes. University System Multi-Campus 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/policy/index.php>) and the requirements of its administrative campus within the UNC system.

General Guidelines and Procedures

Centers and institutes are important means of fulfilling the mission of the University. They are particularly effective structures when efforts require cross-disciplinary or cross-unit coordination. Centers and institutes, when formed, should result in strengthened and enriched programs around the core missions of research, service, and instruction; enhanced opportunities for faculty, staff and student; heightened economic impact in the state; and a reduction in duplication within UNC.

The objective of these policies and procedures is to provide a framework governing the planning, establishment, review, name change 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.

I. Definitions

A. 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’s 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.

B. Administrative Campus

Each center or institute must designate an administrative campus. For centers and institutes situated on a single campus, this designation is straightforward. Full authority for the oversight of institutional centers and institutes rests at the campus level, including establishment, management, and discontinuation. For centers and institutes involving more than one UNC campus, agreement on an administrative campus must be reached. Administrative campuses are responsible for the general and

fiscal oversight and management of their institutional centers and institutes, in accordance with this regulation and campus level policies and procedures.

C. Institutional versus University System Multi-Campus Centers and Institutes

Centers and institutes may be either an *institutional* or a *University System Multi-Campus* centers or institute.

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, agencies, or organizations, such as other non-UNC colleges and universities, schools, hospitals, industry, foundations, or governmental bodies for specific activities or projects, but fiscal and administrative oversight is limited to a single administrative campus. Institutional centers and institutes are not required to submit planning, establishment, discontinuation, or review documents to the UNC Board of Governors; they are subject to the policies and procedures established by UNCG.

University System Multi-Campus Centers and Institutes involving more than one campus in the UNC system, serve to promote collaboration and to minimize duplication with the UNC System. Some centers and institutes are established either to represent North Carolina in a federally funded and formula-based program, many of which require state matching funds, or through legislative action with requirements of multiple campus engagement. These entities, known as University System Multi-Campus Centers and Institutes, will maintain varying levels of involvement from UNC General Administration throughout their life cycle. Consult with the UNCG Office of Research and Economic Development and refer to the UNC Policy Manual, Section 400.5 for more information. The provisions of this regulation are intended to enable campuses to effectively manage centers and institutes, whether institutional or involving multiple campuses. Inter-institutional centers and institutes are hence not singled out as exceptional circumstances requiring system-level oversight but rather to be considered as a customary practice that may require some additional considerations.

II. Purpose and Type of UNCG Centers and Institutes

A. Purpose

Centers and institutes are typically established at UNCG to strengthen and enrich interdisciplinary 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.

B. Types of Centers and Institutes

A center or institute must identify either a research, public service, or instructional unit primary mission, in accordance with its mission and core activities, with the understanding that the center or institute may also conduct complementary activities outside of its primary designated mission.

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.

C. Unnecessary Duplication

Centers and institutes must avoid unnecessary duplication within UNCG.

D. 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

A. Reporting Structure

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), Associate Provost, the Vice Chancellor for Research and Economic or the Provost/ Executive Vice Chancellor. This reporting relationship must be clearly stated in all proposals to plan, establish, or discontinue a center, and in the regularly scheduled review.

B. Authority through Bylaws, Memoranda of Understanding, or other Governing Documents.

Centers and institutes, particularly those requiring sustained involvement across multiple campuses or partner institutions, may address certain aspects of their management through bylaws, Memoranda of Understanding (MOUs), or other governing documents. Examples of decisions that can be localized at the center or institute level include processes for appointing and staggering terms of board members, requirements for adding new partners or partner campuses, or agreements on leadership and logistics for specified collaborative initiatives. Centers and institutes that involve multiple campuses, but without such documents, are considered under the full authority of the administrative campus as defined above.

C. Personnel Appointments

Each center or institute must identify a director. Center and institute directors are responsible for the day-to-day programmatic, fiscal and personnel decisions associated with the center and institute mission and core personnel.

A UNCG center or institute is responsible to the Chancellor or, by his/her designation, to another administrative officer. 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.

D. Management of Space, Budget, and Personnel

The management of assigned space, resources, and personnel matters should be outlined clearly in the establishment documents and consistent with university policies and procedures.

E. Center or Institute Boards or Committees

A center or institute may determine that an advisory or policy board is needed. Boards or committees are particularly useful when the center or institute must coordinate efforts across departments, units,

or institutions. Such boards do not have the authority to make hiring offers to directors or other staff. While boards may make recommendations regarding the use of center and institute funds, such entities do not have the authority to access, use, or otherwise control funds associated with the centers and institutes. The policy for establishing advisory boards, *Administrative Guidelines for the Appointment of Advisory Boards*, can be found at <https://provost.uncg.edu/policies-procedures-forms>.

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

Requests to plan, establish, rename or discontinue an institutional center may be initiated by a Department Chair / Dean, a Dean, Associate Provost, Vice Chancellor or the Provost / Executive Vice Chancellor. The Provost / Executive Vice Chancellor 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 Vice Chancellor for Research and Economic Development in the pre-planning and planning stages.

Coordination of the processes involving requests to plan, establish, change name or discontinue as well as review an institutional center or institute resides in the Office of the Vice Chancellor for Research and Economic Development. All materials should be submitted to the Vice Chancellor, who will coordinate the process of review by an Academic Affairs team including the Vice Chancellor for Research and Economic Development and the Provost/Executive Vice Chancellor. 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 / Executive Vice Chancellor and to the Vice Chancellor for Research and Economic Development. The letter must include the following:
 - mission;
 - type of center or institute (research, service, instructional);
 - when relevant, statements on the inter-institutional nature of the proposed center or institute, whether it be mission, leadership, activities, funding, or other aspects;
 - reporting structure;
 - description of 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, and to UNC;
 - description of the objectives of the proposed center or institute and why the objectives cannot be achieved within existing institutional or University structures; and
 - potential sources and estimated funding to initiate and sustain the proposed center or institute, presented as a five-year projection.

The letter must be signed by the individual (academic Dean, an Associate Provost, Vice Chancellor, or the Provost / Executive Vice Chancellor) 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 Vice Chancellor for Research and Economic Development, who will route the Request through the process of review by the Vice Chancellor for Research and Economic Development and the Provost / Executive Vice Chancellor.

3. A 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 from the Provost/Executive Vice Chancellor.

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

1. Within one year of receipt of permission to PLAN a UNCG Center or Institute, submit three copies of the **Request to Establish an Institutional Center or Institute (Form A)** and all attachments to the Vice Chancellor for Research and Economic Development who will route the materials through the process of review by the Vice Chancellor for Research and Economic Development and the Provost/ Executive Vice Chancellor to be followed by submission to the Chancellor and the Board of Trustees.

2. Upon approval by the Board of Trustees, the Vice Chancellor for Research and Economic Development will notify the proposed center/institute that it may proceed with its establishment activities. Authorization to establish is valid for a period of one year. The Vice Chancellor for Research and Economic Development will notify UNC General Administration (GA) when a center or institute has been established.

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

1. Reporting Requirements

All UNCG centers and institutes are required to undergo review at a minimum of three-year intervals, on a schedule to be announced by the Office of the Provost / Executive Vice Chancellor. A sample form outlining the reporting requirement is provided near the end of this document. Each center/institute will be notified of the review process, timelines, requirements and format prior to the review.

Three copies of the report and associated materials should be sent to the Vice Chancellor for Research and Economic Development, 1601 MHRA, Campus. The Vice Chancellor will be responsible for coordinating the review and for routing the report to other participants in the evaluation process and will notify UNC GA, if appropriate.

2. Evaluation Criteria

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

3. Review Process

Following submission of the report, the information will be reviewed by the Vice Chancellor for Research and Economic Development and the Provost/Executive Vice Chancellor and then forwarded to the Chancellor.

4. Results of the Review

Results of the review will be sent to each center or institute after the evaluation process has concluded. If the review identifies unsatisfactory performance, a remediation plan including process, milestones, and responsible parties will be developed in consultation with the Vice Chancellor for Research and Economic Development, the Center Director and other appropriate parties.

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

1. A center or institute may be discontinued for a variety of reasons, including lack of fiscal resources for sustainability, termination of a supporting grant or award, lack of fit with departmental, college or institutional missions or objectives, or cases of extraordinary circumstances. 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 / Executive Vice Chancellor, Vice Chancellor, Associate Provost, Dean, or Department Head / Chair.)
2. Three copies of all required materials should be submitted to the Vice Chancellor for Research and Economic Development, who will route the materials through the process of review by the Vice Chancellor for Research and Economic Development and the Provost/Executive Vice Chancellor, to be followed by submission to the Chancellor and the Board of Trustees.
3. The Vice Chancellor for Research and Economic Development 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.
4. The Vice Chancellor for Research and Economic Development will notify UNC GA when a center or institute has been discontinued.

E. 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 one year 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.

F. Name Change

If a center or institute desires to change its name, a letter describing the new name, how it reflects the mission of the center or institute and why the new name is necessary should be sent to the Provost / Executive Vice Chancellor with a copy to the Vice Chancellor for Research and Economic Development and other appropriate individuals. Requests should be made at least by March 1 to be effective at the beginning of the next fiscal year. The Provost / Executive Vice Chancellor will notify the center director with a copy to the Vice Chancellor for Research and Economic Development when a decision is made. It is the responsibility of the center or institute to notify other campus offices when the name change is approved (e.g. Financial Planning and Budgets, the Office of Data Management, Accounting Services, Human Resources and the university directory).

Form A
Request to ESTABLISH an Institutional Center or Institute

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

Submit three copies of all materials to the Vice Chancellor for Research and Economic Development, 1601 MHRA, 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
 Inter-Institutional. (involves other NON-UNC institutions, agencies, or organizations, such as other non-UNC colleges and universities, schools, hospitals, industry, foundations, or governmental bodies)

Please list:

- University System Multi-Campus Centers and Institute (involves more than one campus in the UNC system)

Please list:

Primary Mission of Center / Institute (Select one with the understanding that the center or institute may also conduct complementary activities outside of its primary designated mission.)

- Research
 Public Service
 Instructional

II. Please attach responses to the following. *Provide the information on one side of the paper, single-spaced, 1 inch margins, Times Roman. Do not exceed 10 pages.*

1. Provide a vision statement for the proposed center or institute.
2. State the proposed mission of the center or institute.
3. Explain how the proposed name of the center or institute accurately reflects the scope of the mission of the center or institute.
4. Describe the relevance of the mission of the proposed center or institute to the UNCG mission and strategic plan, including any impact upon the existing academic departments, centers, and institutes and to UNC.
5. Describe why this mission cannot be achieved within existing institutional or University structures and to UNC.
6. Provide a five-year list of the specific goals of the proposed center/institute.
7. Provide a statement on the anticipated effects of the proposed unit on the instructional, research and/or public service programs of the administrative campus; and, when inter-institutional arrangements are involved, a statement on the anticipated effects of the proposed collaboration on the instructional, research and/or public service programs of all participating campuses.
8. Discuss how the proposed center or institute will be differentiated from similar centers, institutes or units within the camps, UNC system and the State, and proposed relationships with them.
9. Describe any proposed advisory or policy boards.
10. 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 and the proposed lines of responsibility. (does not count towards page limit)
11. If relationships with the external community are a part of the vision of the proposed center or institute, describe how this will occur and how its effectiveness will be measured
12. Provide information about the qualifications of the proposed director and the criteria for the director's review, to include at minimum:
 - a. Cycle(s) for review of center and institute directors, including designation of the responsible office or offices;
 - b. Performance against individual objectives and goals;
 - c. Feedback on leadership and communication from center/institute staff, partners and/or clients; and
 - d. Management of fiscal and human resources.

13. Supply budget estimates for the first year of operation and projections for the following four years, including potential sources and estimated funding needed to initiate and sustain the proposed center or institute .Justify items included on the budget. (does not count towards page limit)
14. Explain immediate as well as projected operating needs, such as equipment, library resources, IT and space.
15. Each UNCG center or institute is required to develop and maintain a website displaying at a minimum the center's name, primary designation (research, public service, instructional), director's name and contact information, and a brief mission statement. Describe how a website will be maintained.
16. Given the mission outlined above, describe the benchmarks by which the productivity or impact of the Center/Institute will be evaluated including:
 - a. performance against objectives and goals;
 - b. quality and quantity of scholarly and/or instructional activity (as appropriate per mission) such as number of publications or exhibitions; number of students; number of invention disclosures, patent applications, patents received, and licenses providing appropriate details;
 - c. number, dollar amount, and source of sponsored research funding (as appropriate per mission); and
 - d. client feedback (client defined as appropriate per the mission).

Submitted by: _____

Title: _____

Signature: _____

Date: _____

APPROVALS:

Department Chair / Head

Date

Dean

Date

Vice Chancellor for Research and Economic Development

Date

Provost and Executive Vice Chancellor

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 Vice Chancellor for Research and Economic Development, 1601 MHRA, 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 inch left margin, 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, Vice Chancellor, or Provost / Executive Vice Chancellor):

Name and Title:

Campus Address:

Telephone and Fax:

E-mail address:

Status

- Institutional
- Inter-Institutional. (involves other NON-UNC institutions, agencies, or organizations, such as other non-UNC colleges and universities, schools, hospitals, industry, foundations, or governmental bodies)
Please list:
- University System Multi-Campus Centers and Institute (involves more than one campus in the UNC system)
Please list:

Primary Mission of Center / Institute (Select one with the understanding that the center or institute may also conduct complementary activities outside of its primary designated mission.)

- Research
- Public Service
- Instructional

- II. 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?
- III. 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 has changed, include the original and current mission statement and the rationale for the change.
- IV. Explain how the work of the center/institute remains relevant to the mission and strategic plan of UNCG, including any impact upon existing academic departments, centers and institutes.
- V. Explain how the Center/Institute makes a unique contribution and does not duplicate other institutional, UNC, or state entities.
- VI. (a) Provide the five-year list of the specific goals and objectives of the proposed center/institute that was given in the Plan to Establish.(b)Describe how each goal or objective has been met or an explanation about how they were modified and the new goals or objectives met. Utilize the measures of productivity given in the Establishment Document where appropriate.
- VII. (a) Describe any activities of advisory or policy boards, if applicable. (b) Describe how these activities have advanced the mission of the Center / Institute.
- VIII. Using the benchmarks outlined in the establishment document, describe the productivity or impact of the Center/Institute since the last review including:
- performance against objectives and goals; quality and quantity of scholarly and/or instructional activity (as appropriate per mission) such as number of publications or exhibitions; number of students, number of on invention disclosures, patent applications, patents received, and licenses providing appropriate details;

- b. the departments and faculty at UNCG that with which the proposed center or institute interacts; provide information about the effectiveness of these interactions;
 - c. number, dollar amount, and source of sponsored research funding (as appropriate per mission);
 - d. the outside agencies or populations with which this center/institute interacts; provide information about the effectiveness of these interactions;
 - e. client feedback (client defined as appropriate per the mission);
 - f. fiscal sustainability, including the current operating budget with sources of funding and the anticipated operating budget with sources of funding for the next three year period; and
 - g. any other considerations specified in the establishment document or that best illustrate the Center/Institute productivity.
- IX. Provide evidence of the effectiveness of the director and other personnel, as appropriate (e.g., annual reviews, performance against individual objectives and goals, feedback on leadership and communication from center/institute staff, partners and/or clients and management of fiscal and human resources).
- X. Describe major changes anticipated during the next five years. Include the following:
- a. Size (changes in number of personnel, resources, IT, space)
 - b. Budget
 - c. Administrative structure and governance
 - d. Mission and Goals

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.

A request to discontinue may be initiated by the individual who has primary responsibility for the center/institute (the Provost / Executive Vice Chancellor, Vice Chancellor, 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 Vice Chancellor for Research and Economic Development, 1601 MHRA, 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

Status

- Institutional
- Inter-Institutional. (involves other NON-UNC institutions, agencies, or organizations, such as other non-UNC colleges and universities, schools, hospitals, industry, foundations, or governmental bodies)

Please list:

- University System Multi-Campus Centers and Institute (involves more than one campus in the UNC system)

Please list:

Type of Center / Institute

- Research
- Public Service
- Instructional

Please attach responses to the following. Provide the information on one side of the paper, 1 inch left margin, 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. Indicate the proposed effective termination date.**
- V. Provide any additional information necessary to support the request to discontinue.**

Submitted by: _____

Title: _____

Signature: _____

Date: _____

APPROVALS:

Department Chair / Head

Date

Dean

Date

Vice Chancellor for Research and Economic Development

Date

Provost and Executive Vice-Chancellor

Date

Chancellor

Date

Chair, UNCG Board of Trustees

Date