

FLORIDA	OFFICIAL
POLYTECHNIC	UNIVERSITY
UNIVERSITY	ACADEMIC POLICY

Subject/Title: Establishment of University Institutes and Centers
FPU Policy Number: FPU-5.0021AP
<input checked="" type="checkbox"/> New Policy <input type="checkbox"/> Major Revision of Policy <input type="checkbox"/> Minor Technical Revision of Policy
Date First Adopted: December 2, 2015
Date Revised:
Responsible Division/Department: Academic Affairs
Initiating Authority: Ghazi Darkazalli, Executive Vice President of Academic Affairs and Provost

A. APPLICABILITY/ACCOUNTABILITY:

This policy applies to all University Institutes and Centers and is supplemental to applicable Board of Governors (“BOG”) regulations.

B. POLICY STATEMENT:

The University President has the power to approve the development and implementation of University Institutes and Centers. No Institute or Center will operate without prior approval of the University President. A request to establish a University Institute or Center will be considered using the approval procedure outlined in this policy.

A University Institute or Center is an entity that is generally established by the University to coordinate institutional research, service, and/or educational/training activities that enhance existing instruction, research, and service at the University by focusing on areas within a discipline or across disciplines. For instance, the Institute or Center may encourage multidisciplinary approaches to teaching and scholarship, provide a focus for service and research or promote the sharing of resources. All University Institutes and Centers must be aligned with the established goals of the BOG and further the University mission.

1. University Centers. University Centers are generally academic units focusing on sponsoring, coordinating and conducting research. A Center may also engage in service activities or offer instruction or training on a non-degree basis.
2. University Institutes. University Institutes are generally distinct free-standing units of substantial size with a broader mission and focus than a University Center. A University Institute primarily has a research focus, although non-research service activities (public service, scholarly/creative activities and instructional activities) and initiatives may be included. An Institute may establish Centers (after approval by the President pursuant to this policy) or programs as administrative units within its organization.
3. Exclusions. Some entities, such as the Wellness Center, that use the terms “Institute” or “Center” in their title, are not Institutes or Centers for purposes of this policy. Such excluded entities may provide service (tutoring or child care for example) to or within the University but have no broader research mission.
4. Institute or Center Director. Each Institute or Center will have a Director who manages the day to day operations and works to ensure that the Institute or Center meets its goals, objectives and its mission. The Director interacts with faculty, University administrators, and external constituents on behalf of the Institute or Center, and ensures compliance with all agreements and timely submission of reports.

5. Faculty of the Institute or Center. A Director may request that the Provost appoint a faculty member to a position at the Institute or Center. If the faculty member devotes a minimum of 25% FTE in a fiscal year to the Institute or Center, the Director will provide the Provost with a report of the faculty member's activities as part of the faculty member's annual performance appraisal process.
6. Staff of the Institute or Center. After the President has approved the formation of the Institute or Center, the Director may hire staff as provided for in the approved Institute or Center budget.
7. Proposal Review Committee. A Proposal Review Committee is appointed by the Provost and consists of at least three individuals, one of whom is recommended by the proposed Director of the proposed Institute or Center. This Committee reviews the initial application of the Institute or Center and provides written recommendations to the proposed Director.
8. Performance Review Committee. A Performance Review Committee is appointed by the Provost and consists of at least three members who review the annual report of the Institute or Center. The Performance Review Committee consists of individuals selected from the following areas: at least one faculty member from the College most closely affiliated with the Institute or Center; a representative from Finance; and a third member with appropriate expertise.

C. PROCEDURES:

1. Preparing a draft proposal for an Institute or Center.
 - a. The proposed Director or designee prepares a draft proposal for an Institute or Center using the format outlined below. The proposed Director/designee submits the draft proposal to the Provost along with a recommendation of three individuals who could serve as possible members of the Proposal Review Committee.
 - b. Within two weeks of submission of the draft proposal, the Provost/designee appoints the members of the Proposal Review Committee; at least one of the members will be selected from the recommended individuals named in the draft proposal. The Proposal Review Committee reviews the draft proposal and provides feedback to the proposed Director within two weeks of the appointment of the Committee using the decision criteria outlined below.
 - c. The proposed Director/designee makes the changes to the second draft proposal and submits the draft proposal for an Institute or Center to the Provost for consideration.
 - d. The Provost reviews the submission and within two weeks of the date of receipt of the second draft proposal will recommend changes to the proposed Director using the decision criteria outlined below. The proposed Director makes the final changes to the second draft and submits a final draft to the Provost for consideration.
 - e. The Provost reviews the final draft within two weeks of receipt and forwards the proposal to the President.
2. Submitting a final proposal for an Institute or Center. In order to establish a University Institute or Center, the Provost or designee prepares and submits a request to the President to approve a proposed Institute or Center and includes the following information on the proposal form:
 - a. Name. The name of the Institute or Center and its key terms of focus to be used as identifiers in a searchable database.
 - b. Fiscal year. The fiscal year the Institute or Center will be implemented.
 - c. Proposed Director. Information about the proposed director, including the name, title, contact information, including email address, resume and a summary of the qualifications of the proposed director.

- d. College affiliation. Indicate which academic discipline or college will be most closely affiliated with the Institute or Center.
 - e. Identify other entity or university involvement. If the Institute or Center is part of another entity/university, include the identification of the other entity/university and provide details about the relationship indicating which entity is responsible for assuming the lead role.
 - f. Signature lines. The request must contain signatures of approval from the proposed Director of the Institute or Center, the Provost and the President.
 - g. Mission Statement, goals and objectives. Provide a brief mission statement and indicate the goals and objectives for years one (1) through five (5). Explain how the goals and objectives relate to the established goals of the BOG and further the University mission.
 - h. Benefits. Provide a description of the benefits of establishing the Center or Institute and a rationale or justification for this Institute or Center as a priority for development at the University and/or in the State. If there are similar Institutes or Centers in the State, describe how this Institute or Center is unique and how it may duplicate. Explain how this Institute or Center will add value to the University. Identify how it will strengthen existing academic programs.
 - i. Activities. Provide a description of the activities (research, public service and training) which the Institute or Center will foster. Indicate how the Institute or Center will allow the faculty/staff/students to do what they could not accomplish solely in one of the colleges at the University. Indicate how the Institute or Center will enhance research and development activity and how it will encourage collaboration beyond what is currently in place at the University.
 - j. Operational Budget. Provide a proposed operational budget that includes estimated expenditures and the number/type of positions for the first through the fifth years. List the budget total expenditures in the following categories: State University System funds; Contracts and Grants; Fees for Services; private or other.
 - k. Funding sources. Identify the planned source(s) of funding (internal and/or external) for the first year and potential long term funding once the Institute or Center starts generating its own research proposals.
 - l. Space requirements. Provide information about projected space requirements including office, laboratory, conference rooms and other space needed and identify if the space is existing, rented or will need to be constructed. Include a timetable for meeting future needs for additional space and equipment and show how those needs will be funded.
 - m. Equipment. Identify equipment available and needed if costing more than \$5,000.00, and identify any service contracts needed. Identify supplies and consumables.
 - n. Organization. Describe the organizational and administrative structure and include an organizational chart delineating functions for staff and faculty identifying the number(s) of staff and faculty and the FTE for each position. For proposed faculty members, list the names, titles and time commitments in FTE and attach the CV of each proposed faculty member.
 - o. Performance Measures. Describe the performance measures that will be used in evaluating the Institute or Center.
 - p. Metrics for the decision to disband. The request must contain metrics that will be used to decide whether or not to disband the Institute or Center.
3. Decision Criteria. The following criteria are considered when deciding whether to approve a request for establishing an Institute or Center:

- a. Faculty involvement. The involvement of several faculty with long term interest in the mission of the proposed Institute or Center;
 - b. Potential for five years. The potential for sustaining the proposed activities for a minimum of five (5) years;
 - c. Alignment with University mission and BOG goals. The alignment of the Institute or Center's goals with the goals of the BOG and clear evidence the Institute or Center will enhance the University mission.;
 - d. Competitive advantages for the University. Whether the mission of the Institute or Center will provide the University with a competitive advantage enhancing or complementing research, scholarly activities and or service activities;
 - e. Non-duplication of research. The non-duplication of substantial portions of research taking place at the University;
 - f. Objectives cannot be achieved in existing colleges. Whether the request for an Institute or Center clearly states why the objectives for the proposed Institute or Center cannot be achieved by individual faculty effort or through existing colleges;
 - g. Feasible funding sources. Whether the request clearly identifies feasible internal or external funding sources for the first year of operation;
 - h. Potential long term funding sources. Whether the request identifies potential funding sources for the long-term operation;
 - i. Needs for additional space and equipment. Whether the request identifies needs for additional space and equipment in the future and a specific timetable for meeting those needs that shows how those needs can be funded;
 - j. Factors for evaluating. Whether the request identifies performance measures to be used in evaluating the Institute or Center; and
 - k. Metrics for decision to disband. Whether the request identifies the critical metrics to be used in deciding whether or not to disband the Institute or Center.
4. Decision Process. The President will review the request, ask for clarifications if necessary, and issue a written decision to the Provost and the proposed Director approving or denying the Center or Institute within thirty (30) days of receipt of the final proposal. This time can be extended if the President requests clarifications or additional information. The President's decision is final. All Institutes and Centers are approved subject to annual performance reviews.
 5. Submit Approved Proposal to the BOG. The Provost or designee submits a copy of an approved new University Institute or Center proposal containing basic descriptive, contact, and fiscal information to the Director/designee of the University Office of Institutional Research. The University Office of Institutional Research submits the approved proposal to the BOG Office of Academic and Student Affairs.

ACADEMIC POLICY APPROVAL

Academic Policy No.: 5.0021AP

Initiating Authority

Date

Academic Policies Committee Chair

Date

Vice President of Academic Affairs

Date

President/Designee

Date

Approved by FPU BOT, if required

Date

EXECUTED SIGNATURE PAGES ARE AVAILABLE IN THE
OFFICE OF THE GENERAL COUNSEL