

UNIVERSITY OF SOUTH FLORIDA

GUIDELINES FOR THE FORMATION, OPERATION, AND TERMINATION OF UNIVERSITY INSTITUTES AND CENTERS

I. Introduction

Institutes and centers are entities established to coordinate research, service, and/or educational/training activities that supplement and extend existing instruction, research, and service. Thus, institutes and centers are, by design, entrepreneurial. Although the University or one of its units may commit internal resources to help initiate and support these units, external funding will be expected to provide the largest part of the support for such a unit's operation and activities. Thus, any proposal to initiate a new institute or center must make a compelling case for its establishment and its ability to attract external funding in a manner that the host unit could not otherwise achieve.

Within the State University System of Florida, Institutes and Centers are classified as either (1) State of Florida institutes or centers or (2) University institutes or centers. The Florida Board of Governors Regulation 10.015 addresses the establishment and operation of State of Florida Institutes and Centers.

The purpose of these guidelines is to address the formation and operation of University institutes and centers within the University of South Florida System.

[Note on exclusions: There are entities within the University of South Florida System that use the term "Institute" or "Center" in their titles that are excluded from these Guidelines. Examples include the University of South Florida Health Sciences Center; the Louis de la Parte Florida Mental Health Institute (FMHI), but not centers or institutes within the College of Behavioral and Community Sciences that are serving research, teaching and service functions even if they may be part of a FMHI unit; and USF advising, student health, computing, faculty development, and certain other centers. However, these entities may have institutes or centers under their purview that are covered by the procedures described in this document.]

II. Definitions

An **institute** is an *organized research unit* established on a continuing basis primarily for the coordination and promotion of faculty research interests organized around a broad subject area. Normally, the breadth of research projects and programs transcends department, school, college, or even campus boundaries. The creation of an institute requires clear and strong evidence of service to long-range University goals.

A **center** is (1) analogous to an institute but is more limited in scope, or (2) an *organized research unit* that serves a specific purpose within an institute, or (3) a unit that provides specialized capabilities to further research, enhance instruction, or deliver services.

The phrase "organized research unit" refers to collective research enterprises that typically contain in their title the word "institute" or "center" and are defined as follows:

- **University-level organized research units** report directly to a Vice President. These units are large scale, often multi-college, interdisciplinary organizations whose missions are directed toward the strategic strengths and initiatives of the University. University-level organized research units may receive some financial support from the USF System Vice President for Research and Innovation. The USF System Vice President for Research and Innovation will approve proposals for institutes and centers that constitute or are part of a University-level organized research unit, and the Office of Research and Innovation will participate in reviews and evaluations of institutes and centers that fall into this category.
- **College-level organized research units** report to a dean or designee. The mission statements of these units often have an interdisciplinary focus, but they are primarily sponsored by a given college. College-level organized research units may receive some financial support from the college or University.
- **Department-level organized research units** report to and are primarily sponsored and supported by an individual department. A department-level unit reports on a daily basis directly to the department chair.
- **Sponsored-Program Based organized research units** are established by the signatory authorization recorded on the initial proposal to a funding agency, and receive their designation from a grant competition or block funding offered by a federal or state governmental agency or private foundation. These units dissolve at the conclusion of the funding period unless they submit a successful renewal proposal or request status as an institution, college, or department-level organized research unit.

III. Formation and Operation of University Institutes and Centers

The USF System President may grant authorization for the development and implementation of University institutes and centers.

It is important to distinguish between formally established institutes and centers and other units of a less formal nature. In order to request approval and formal designation as an institute or center, a unit must have two or more members, one of whom must be a USF faculty member who is formally assigned to and compensated (from E&G or some other source) for work in the institute or center.

A unit that has not been approved to use the formal designation “institute” or “center” should not represent itself as such. Units in which faculty participation is informal and unassigned should adopt another designation such as Laboratory, Project, Initiative, Collaborative, Coalition, or Group.

A. Proposals to Initiate New University Institutes and Centers

The following basic descriptive, contact, and fiscal information must be provided in any proposal to initiate a new University institute or center. The forms for initiating a new Institute or Center may be found under the Office of Institutional Effectiveness,

Academic Planning and Review web-site under the Office of the Provost and Executive Vice President.

The process to initiate a new university institute or center is as follows:

- Complete an **Initiation Form** found at the Office of Institutional Effectiveness, Academic Planning and Review web-site under the Office of the Provost and Executive Vice President that includes:
 - The name of the institute or center.
 - The proposed date of implementation.
 - Type of institute or center
 - The name and title of the director of the institute or center.
 - Complete responses to all questions on the Initiation Form, including submitting an administrative assessment plan. The template for establishing an administrative assessment plan can be found at the Office of Institutional Effectiveness, Academic Planning and Review web-site under the Office of the Provost and Executive Vice President.
 - Components of the plan should include:
 - Mission: A general statement of the purpose and purview of the center in reference to its generic duties and focus.
 - Goals: Goals are broader/general assertions that describe the overarching long- term intended objectives of the center or institute
 - Objectives/Outcomes: Outcomes are measurable statements that described expected or intended quality relative to timeliness, responsiveness, accuracy
 - Method of Assessment: Method of Assessment refers to the instruments used to reach or attain the outcomes (e.g. surveys, focus groups). This must include: a description of the instruments and why they were used
 - Performance Targets: where you would like to be; should include how you will define success based on the defined outcomes.
 - Assessment Results: actual data/information based on the previously stated outcomes, methods of assessment and performance targets
 - Use of Results for Program Improvement: Every entity is required to review assessment results with a focus toward uncovering services or parts of services that need to be improved.
 - Signatures of appropriate individuals up to the Dean's level.

The OIEAPR will transmit the request to the Office of Provost and Executive Vice President for all other signatures.

- Complete a **Directory Information Form** found at the Office of Institutional Effectiveness, Academic Planning and Review web-site under the Office of the Provost and Executive Vice President that includes:
 - The name and discipline of the institute or center.
 - Contact information, including the mailing address; telephone and fax numbers; the institute or center's Web site; and the e-mail address for the director.
 - A mission statement of no more than 75 words.

- Key terms that identify the primary areas of focus of the institute or center.

The I/C Number (key code) will be assigned by the Florida Board of Governors once approved.

- Complete a **Financial Information Form** found at the Office of Institutional Effectiveness, Academic Planning and Review web-site under the Office of the Provost and Executive Vice President that includes:
 - Estimated total funds to be expended by the institute or center in the next five years (or current year, if mid-year proposal) by funding source and chart field (State Appropriation to the State University System, Contracts and Grants, Fees for Services, and Private & Other Funds) and by entity (Education and General, IFAS, USF Health).
 - Estimated total positions (FTE in person years) to be allocated to the institute or center for the next fiscal year (or current year, if mid-year proposal) by funding source and type of position (faculty, administration and staff).

Completed proposals for new University institutes and centers should be submitted to the Office of Institutional Effectiveness, Academic Planning and Review (OIEAPR) for review and will be brought to the Provost for further action. When approved, the information will be sent to the BOG to be added to the statewide database and to the list of USF approved institutes and centers.

B. Annual Reporting Requirements for University Institutes and Centers

All institutes and centers are required to submit annual evaluation and financial data each year. Beginning in July of each year through the end of August, the Office of Institutional Effectiveness, Academic Planning and Review (OIEAPR) and the Office of Financial Management (OFM) will review the inventory of authorized institutes and centers to determine the accuracy of information that is maintained in the SUS data base and respond to BOG Regulation 10.015 annual reporting requirements.

The OIEAPR and OFM will establish a yearly reporting schedule for all institutes and centers to ensure compliance with BOG reporting. All institutes and centers will be required to present **evaluations and financial data** prior to the BOG reporting site becoming available in late August of each year.

The following annual reporting information is required for all institutes and centers that are approved for all or part of a given fiscal year (July 1-June 30): This information will include:

- A Directory Information Form found at the Office of Institutional Effectiveness, Academic Planning and Review web-site under the Office of the Provost and Executive Vice President.
- Total funds expended during the previous fiscal year (July 1-June 30) by funding source (State Appropriation to the State University System, Contracts and Grants, Fees for Services, and Private & Other Funds) and by entity (Education and General, IFAS, Health Sciences Center). (See BOG website for definition of funds).
- Total faculty, administration and staff by FTE in person-years, funding source and

- type of position during the previous fiscal year (July 1-June 30).
- A copy of last annual evaluation/review which includes:
 - A determination of the institute or center's progress against defined goals and objectives within the context of the institute or center's mission; university mission, and the current Board of Governor's Strategic Plan;
 - A determination of the institute or center's progress against stated administrative assessment plan on file with the Office of Institutional Effectiveness, Academic Planning and Review. This includes a report on "results" and "use of results" updated annually (SACS standard 3.3.1.4, 3.3.1.5). For resources & templates, please see: <http://www.acad.usf.edu/Office/IE/C&I.htm>
 - An assessment of the return on investment of State dollars, if applicable;
 - The need for continuation of the institute or center;
 - Changes in mission or organizational structure;
 - Budget reduction or expansion;
 - Statement of assurance of director's annual evaluation;
 - Recommendations for change in classification if applicable;
 - Recommendations for statue change (active, inactive, or terminated) and;
- The date of the last seven year evaluation/review.

C. Formal Evaluation/Review Requirements for University Institute and Center

A formal review of each University institute or center will be conducted at least every seven years to determine if the institute or center should be continued, classified as inactive, discontinued, or should apply for classification as a State of Florida institute or center. At a minimum, all evaluations/reviews shall include:

- A determination of the institute or center's progress against ***defined goals and objectives*** within the context of the institute or center's mission, university mission, and the current Board of Governor's Strategic Plan;
- A determination of the institute or center's progress against stated ***administrative assessment plan*** on file with the Office of Institutional Effectiveness, Academic Planning and Review.
- A description of the institute or center's accomplishments and/or challenges over the last seven years;
- An assessment of the return on investment of State dollars, if applicable;
- The need for continuation of the institute or center;
- Possible changes in mission or organizational structure;
- Budget reduction or expansion;
- An audit of funding support for continuation;
- Statement of assurance of director's annual evaluation;
- Recommendations for change in classification if applicable;
- Recommendations for statue change (active, inactive, or terminated) and;
- The date of the last evaluation/review.

Institutes and centers may be asked to supply names for external consultants for the seven year review to the OIEAPR. This office will coordinate review efforts. The OIEAPR will establish and maintain an institute and center review schedule. Requests for an extension must be made to and approved by the VP of OIEAPR.

D. Review of Directors

Institute and center directors will undergo an annual performance review according to normal University procedures for the evaluation of faculty and administrators. Annual performance reviews of directors should include a review of the institute or center annual report (see Section III.B. above). The director's performance is also reviewed as part of the seven-year review of the institute or center. Annual evaluations of institute and center directors by deans and department chairs should include an evaluation of the extent to which the institute or center is meeting its mission and goals and contributing to those of the college. (See III.B above)

E. College Responsibilities Regarding Institutes and Centers

It is the responsibility of any college within which a given institute or center is organizationally located to provide oversight for the daily activities of the institute or center, including SUS E&G, contract and grants, fee activities and P&O. This is especially important in the case of multidisciplinary institutes and centers that involve faculty from multiple departments or colleges.

Deans will ensure that institutes and centers, like all other academic and administrative units, are conducting their daily activities in accordance with University policies and procedures with respect to financial operations, personnel actions, agreements with outside entities, and faculty activity reporting including outside activity and conflict of interest.

Colleges should also provide oversight of institutes and centers with respect to marketing and publicity, ensuring that institutes and centers accurately represent their affiliation with the University, appropriately use the University name, and comply with all applicable institutional requirements.

Deans are also responsible for ensuring that the required annual reviews of directors are completed along with annual reporting requirements set by the University. Deans are also responsible for ensuring that the required formal reviews of institutes and centers are conducted at least once every seven years (see Section IIIC above).

F. Disbanding/Terminating a University Institute or Center

When a University institute or center is disbanded, the college or other unit within which the institute or center is located must notify the OIEAPR and fill out the appropriate Termination Form located under the Office of Institutional Effectiveness, Academic Planning and Review web-site under the Office of the Provost and Executive Vice President. The institute or center must file a final fiscal and annual report. The OIEAPR will notify the BOG Office of Academic and Student Affairs in the Division of Colleges and Universities, which maintains the State of Florida's central database of approved institutes and centers. 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.