



UNIVERSITY OF SOUTH FLORIDA

A PREEMINENT RESEARCH UNIVERSITY

Institute and Center Guidelines

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Prepared by Institutional Effectiveness in the Office of Decision Support

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Overview

Institutes and centers are established to coordinate, support, and extend a University's research, service, and training activities. The establishment, operation, and termination of institutes and centers within USF is governed by the State University System of [Florida Board of Governors \(BOG\) regulation 10.015](#) and [USF Policy 10-063](#). The USF President grants authorization for the development and implementation of University institutes and centers. The process for University institute and center (I&C) establishment, operation, and termination is facilitated by Institutional Effectiveness (IE) in the Office of Decision Support (ODS). IE also maintains the official inventory of USF I&C.

Definitions

The BOG regulation establishes two types of institutes and centers:

1. **University institutes or centers** – Generally established by a single university to coordinate research, service, and/or educational/training activities that supplement and extend existing instruction, research, and service. These units are established in accordance with university policy and approved by the USF President. They are the most commonly established institutes or centers.
2. **State of Florida institute or center** – An entity with statewide mission that may include two or more state universities, established to coordinate inter-institutional research, service, and teaching across the Florida State University System (SUS). State of Florida centers or institutes generally receive special legislative funding and must be approved by the BOG.

State of Florida institutes and centers are unusual and require special procedures, so these guidelines address only the establishment and operation of University I & C at USF. USF Policy 10-063 further defines centers and institutes and their administrative location within the institution.

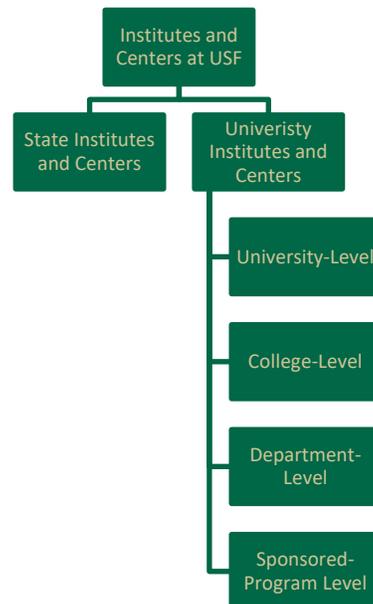


Figure 1. Types of Institutes & Centers at USF.

An **institute** is an *organized research unit (ORU)* 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 Vice President for Research and Innovation. The USF Vice President for Research and Innovation must 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 a university, college, or department-level organized research unit.

Exclusions and Exceptions

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 specifically assigned to and compensated 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.

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 University of South Florida Health Sciences Center; the Florida Mental Health Institute; incorporated institutes and centers with university affiliations, such as the H. Lee Moffitt Cancer Center and Research Institute; and university advising, student health, computing, and certain other centers. However, entities such as the health sciences centers may have institutes or centers under their purview that are covered by the guidelines referenced in this document.

Some of the institutes and centers that USF considers exceptions to this policy and procedure are the Center for Innovative Teaching and Learning, the Bellini Center for Talent Development, the Center for Leadership and Civic Engagement on the Tampa Campus, and the Center for Civic Engagement on the St. Petersburg campus. Exclusions are identified through the establishment process; all institutes and centers and USF must begin the establishment process and added to the official inventory. During that process, some institutes and centers might be designated as excluded from the reporting requirements.

Establishing New University Institutes and Centers

The completion of the **USF Institute or Center Establishment Form** is required to propose the establishment of a new University institute or center. This form is available on the Institutional Effectiveness (IE) webpage: <https://www.usf.edu/ods/accreditation/institutes-centers.aspx>.

Complete proposals, including the form and excluding required signatures, must be submitted to Rebecca Gibbons, Ph.D. at revaclav@usf.edu in IE for review, feedback, and forwarding to the appropriate parties for further action. In signing, all parties recommend that the institute or center (I/C) be established by the USF President. If approved by the USF President, the I/C is officially established at USF. Notification of the establishment will be sent to the BOG within 30 days of the President's approval. The BOG will then assign a Key Code and add the I/C to their list of approved I/C at USF. At the date of establishment (i.e., President's signature), all reporting requirements are active.

The steps toward establishment proceed according to the steps in Figure 2.

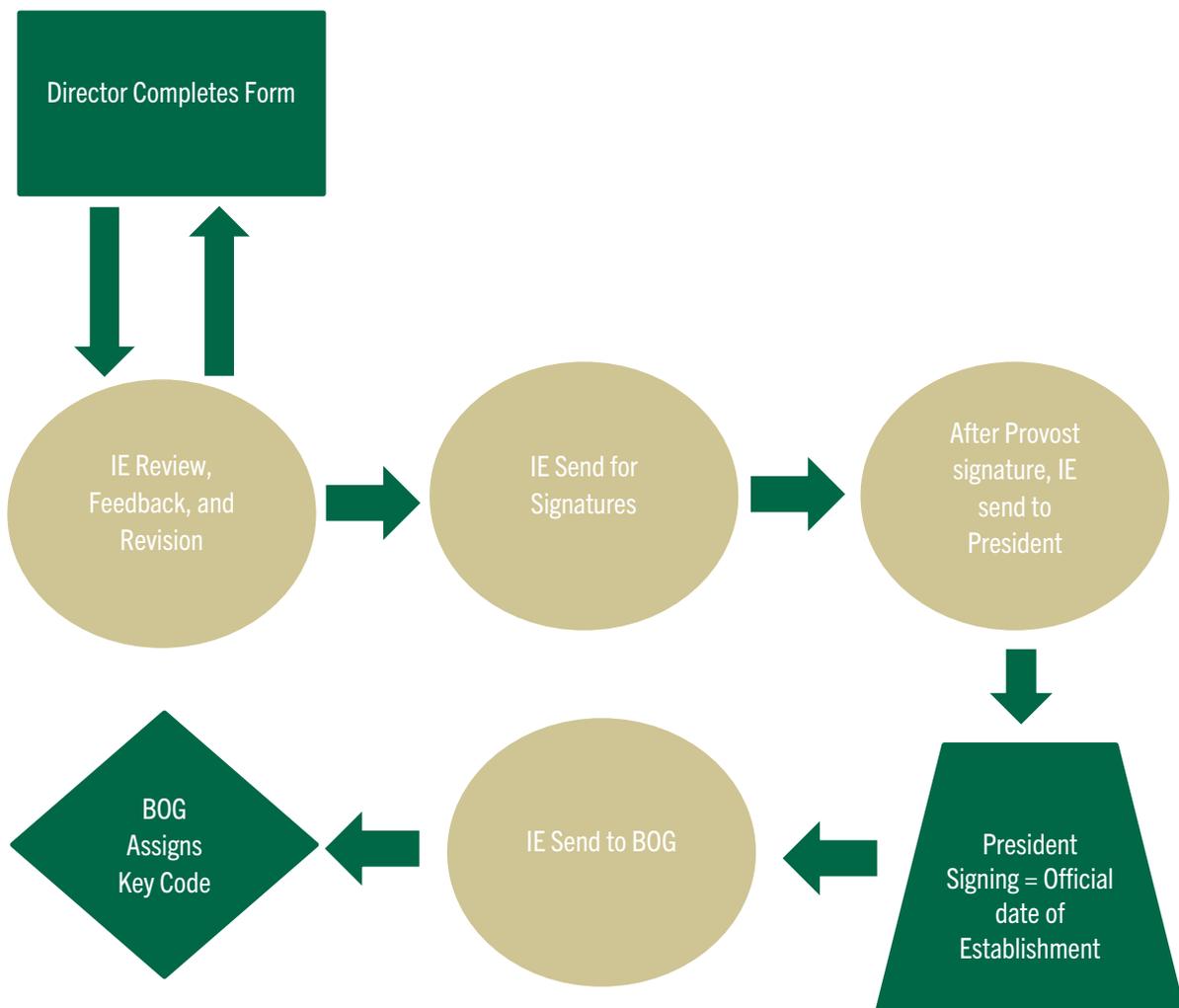


Figure 2. Process steps for establishing University Institutes & Centers at USF

Reporting Requirements for University Institutes and Centers

BOG Annual Reporting Requirements

Pursuant to Board of Governors' Regulation 10.015, each university institute and center must submit an annual report to the Board of Governors' Office of Academic and Student Affairs that includes budget and directory information. The report must be approved by the host university's Board of Trustees (BOT), or its designee. The USF Provost serves as the BOT designee for the annual reports.

At USF, annual budget reports and directory updates are validated by Resource Management and Analysis (RMA). Due dates for annual reporting are assigned by RMA based on financial complexity with zero budget units having the earliest dates. Reporting takes place August-September.

Accreditation-Related Annual Reporting Requirements

Institutes or Centers that directly support student learning, student success, and/or student achievement are required by [USF's institutional accreditor](#) to establish student learning outcomes and to provide annual reports on the assessment of these outcomes. Assessment plans and reports are submitted to IE online. Information can be found on the USF Assessment webpage: <https://www.usf.edu/ods/accreditation/assessment.aspx>.

Formal Seven-Year Review

In addition to an annual report, BOG regulation 10.015 requires all I&C to conduct a formal review at least once every seven years to determine if the I/C should be continued, classified as inactive, discontinued, or should apply for classification as a State of Florida institute or center. IE coordinates the seven-year review and maintains the review schedule on its webpage, along with the Formal 7-Year Report Form. Requests for a change in the review year should be submitted to IE for approval by the Provost or designee.

At the time of formal seven-year review, IE provides notification and resources to complete the report form to all I&C approximately three months prior to the time the form is due. I/C faculty and staff complete the form to submit to IE for review and revision if necessary. IE then generates a summary for each report form and submits for approval by the Board of Trustees. Vice Presidents, Deans, or other I/C supervisors will present a summary of these reports to the BOT. Upon approval, report forms are submitted to the BOG.

At a minimum, all seven-year evaluations/reviews must include the following elements:

- 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, university mission, 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. Date of director's most recent annual evaluation by the college dean or designee
- g. Recommendations for a status change (active, inactive, or terminated) or change in classification if applicable;
- h. Date of the last evaluation/review.

Oversight Responsibilities Regarding Institutes and Centers

It is the responsibility of the college within which a given institute or center is organizationally located to provide oversight for activities including budgets. In the case of University-level I&C, the Vice President assigned responsibility for the I/C holds oversight authority. This is especially important in the case of multidisciplinary institutes and centers that involve faculty from multiple departments or colleges.

Vice Presidents/Deans 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 or Vice Presidential units provide oversight of I&C 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.

Vice Presidents/Deans are responsible for ensuring that annual reporting requirements are completed and the required formal reviews of institutes and centers are conducted at least once every seven years.

Changes in Name of Institutes and Centers

In accordance with [University of South Florida Policy #10-508: Academic Departments/Schools, Academic/Student Success Offerings: Changes of Name](#), name changes to an established institute or center will require submission of the [Institute/Center Name Change Request Form](#).

Upon completing the Name Change Request Form, the Form is submitted to the ODS Academic Planning team at academicplanning@usf.edu. Upon approval, Academic Planning will route the Form for signatures and communicate the results with other USF offices. Institutional Effectiveness will then submit a Memo to the Board of Governors to change the institute or center's name on the official BOG inventory and update the USF institute and center inventory accordingly. More information about changing the name of an institute or center can be found on the [Academic Planning webpage](#).

Changing the Oversight of a University Institute or Center

When a University institute or center moves oversight or level, notification should be made to the Office of Decision Support. In the case of change of level (i.e., from department to college), the Dean with oversight should notify the Office of Decision Support so that the official USF inventory can be updated. The Dean maintains authority over daily operations of all centers within their college, at any level.

If an Institute or Center will be moving between colleges, or another significant change in oversight will occur, a more formal change process, including details about the budget responsibilities, is facilitated by the Office of Decision Support. An I/C director and their Dean should reach out to the Office of Decision Support to facilitate this process.

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 IE and complete the appropriate USF Institute and Center Termination Form located on the IE webpage: <https://www.usf.edu/ods/accreditation/institutes-centers.aspx>. The institute or center must also file a final fiscal and annual report. IE will provide notification of the termination to the BOG Office of Academic and Student Affairs, 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.

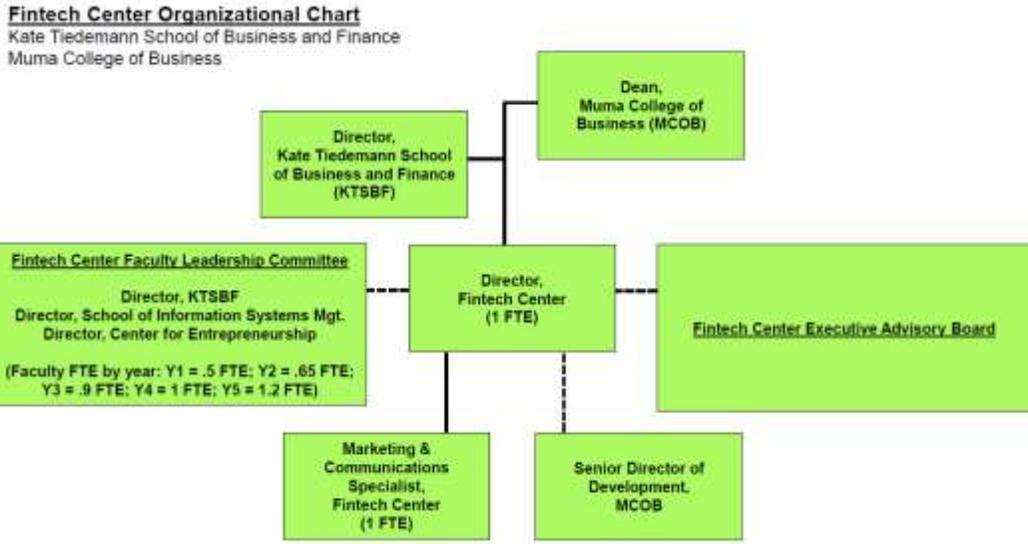
Appendix

Establishment Form Tips

1. The Establishment Form includes questions that describe the mission, goals, and purpose the proposed institute or center. The most successful establishment proposals include an explicit alignment between the mission and goals of the center with the goals of the university as articulated in the [USF Strategic Plan](#).

This section receives particular attention by the President when considering approval.

2. 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 is expected to provide the largest part of the support for operation and activities. Thus, any proposal to initiate a new institute or center must make a case for its establishment and its ability to attract external funding in a manner that the host unit could not otherwise achieve. It is also imperative that, during the formation of an institute or center, a clear budget be developed to include a method of monitoring the auxiliary budget according to USF rules and regulations.
3. Proposers should also pay attention also to the level of detail and alignment of the proposed full-time equivalency (FTE) that faculty and staff will commit to the institute or center throughout the proposal. In planning the proposal, it is important to ask the question: How much of whose time will dedicated to the Institute or Center? Then, along with describing this involvement in the text of the questions, incorporate FTE information in the organizational chart and the budget.
 - a. For example, in response to Question 3. Describe the administrative and organizational structure of the proposed institute or center; include an organizational chart showing the functions and FTE in person years of all faculty, administration, and staff and their reporting relationships, a response should include detail sufficient to identify the amount of time to be spent by faculty and staff: “The FTE for all staff across years 1-5 (2 FTE): Director (1 FTE); Marketing and Communications Specialist (100% 1 FTE). Total staff FTE for years 1-5 = 2 FTE The FTE for all faculty by year: **Year 1 (.5 FTE)**: Dr. Rouzbeh Behnia (.071 FTE); Dr. Priya Dozier (.071 FTE); Dr. Kaushik Dutta (.071 FTE); Dr. Dirk Libaers (.071 FTE); Dr. Balaji Padmanabhan (.071 FTE); Dr. Gary Patterson (.071 FTE); Dr. Shivendu Shivendu (.071 FTE). Total faculty FTE for year 1 = **.5 FTE**” Not all names must be identified at this point in the proposal process, but structure should be provided.
 - b. Then, the Organizational Chart should reflect and align with this description:



4. When generating the budget for the proposal, ensure that the FTE that will be covered by E&G Funds have appropriate E&G Funds listed. Within the budget, there must be funds allocated in the category from which FTE will be derived. In the example here, the first year has 1.00 Staff FTE provided by E&G Funds, with other FTE coming from other sources. In Year 5, there are \$0 allocated in E&G funds, so there are also no

FTE allocated to E&G in Year 5.

USF Institute and Center Budget Information Sheet					
Proposed Name of I/C: The Fintech Center, Kate Tiedemann School of Business and Finance					
Total Expenditures					
	SUS Appropriated Funds	Contracts and Grants	Fees for Services	Private & Other	Total
Year 1: FY 2022-23	\$ 300,000	\$ 160,298	\$ -	\$ 265,298	\$ 725,596
Year 2: FY 2023-24	\$ -	\$ 335,976	\$ -	\$ 307,798	\$ 643,774
Year 3: FY 2024-25	\$ -	\$ 350,036	\$ -	\$ 404,036	\$ 754,072
Year 4: FY 2025-26	\$ -	\$ 429,155	\$ -	\$ 409,036	\$ 838,191
Year 5: FY 2026-27	\$ -	\$ 443,215	\$ -	\$ 491,215	\$ 934,430
Faculty Positions: FTE in Person years BOG					
	SUS Appropriated Funds	Contracts and Grants	Fees for Services	Private & Other	Total
Year 1: FY 2022-23	0.00	0.25	0.00	0.25	0.50
Year 2: FY 2023-24	0.00	0.40	0.00	0.25	0.65
Year 3: FY 2024-25	0.00	0.45	0.00	0.45	0.90
Year 4: FY 2025-26	0.00	0.55	0.00	0.45	1.00
Year 5: FY 2026-27	0.00	0.60	0.00	0.60	1.20
A&P and USPS Positions: FTE in Person years BOG					
	SUS Appropriated Funds	Contracts and Grants	Fees for Services	Private & Other	Total
Year 1: FY 2022-23	1.00	0.50	0.00	0.50	2.00
Year 2: FY 2023-24	0.00	1.00	0.00	1.00	2.00
Year 3: FY 2024-25	0.00	1.00	0.00	1.00	2.00
Year 4: FY 2025-26	0.00	1.00	0.00	1.00	2.00
Year 5: FY 2026-27	0.00	1.00	0.00	1.00	2.00