



*University Community (faculty, staff and students)*

SUBJECT (R*)	EFFECTIVE DATE (R*)	POLICY NUMBER (O*)
CENTERS AND INSTITUTES AT FLORIDA INTERNATIONAL UNIVERSITY	September 25, 2012	370.001

**POLICY STATEMENT (R\*)**

**ESTABLISHMENT AND OPERATION OF A CENTER OR INSTITUTE**

The President has designated the Provost to grant authorization for the development and implementation of University institutes and centers.

A center or institute shall report to the dean of the college or school in which it resides. If a center or institute is multidisciplinary and involves collaboration and cooperation across different colleges and/or schools, then it will report to the Vice President for Research unless a different reporting line is approved by the Provost.

A center or institute must have a minimum critical mass of three FTE (faculty, staff, and graduate students) for approval.

**ANNUAL REPORTING REQUIREMENTS FOR ALL INSTITUTES AND CENTERS**

Each center or institute shall produce an annual report and a budget, and there shall be an external advisory board, if the unit serves the community or an internal advisory board, if there is little direct community interaction. The University expects that the annual report will clearly delineate how success has been measured, how the unit’s function could not be performed by an academic department or by another center/institute, and how the center/institute has made an impact per se, i.e., outcomes of the center/institute which otherwise would not have occurred had there not been a center/institute.

An annual report of actual and estimated expenditure and position data for all institutes and centers that are approved for all or part of a given fiscal year (July 1 – June 30) will include:

- 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 and Other Funds) and by funding entity.
- Total positions during the previous fiscal year (July 1 – June 30) by funding source and type of position.
- Intellectual contributions of the center/institute such as publications, presentations, patents, theses and dissertations.

**EVALUATION AND REVIEW CYCLE**

For new centers or institutes, the first three years will be considered a start-up period after which a thorough review will be conducted to assess whether the center or institute is meeting the performance measures outlined in the establishment documentation. All continuing centers and institutes will normally be reviewed on a three to five year cycle but never exceeding seven years between reviews. In periods of fiscal exigency or as indicated by a previous review of a center/institute, the review cycle can be accelerated. The result of that review may lead to the closure of a center or institute. In general, E&G state support is expected to decrease as a portion of the budget after the first three formative years.

Center & Institute reviews are to be conducted by a Standing Center & Institute Evaluation Committee chaired by the Vice President for Research with a representative from each of the following: Faculty Senate, Academic Affairs, and

Finance and Administration. At the discretion of the Vice President for Research or Provost, at least one external consultant may be engaged for the continuation review.

The Review Committee shall provide evaluation feedback to the Center or Institute Directors. The Evaluation Committee makes recommendations to the Provost regarding acceleration of review cycle, disbandment, or any other action.

Factors considered in the continuation review include:

1. Congruence of the mission of the center/institute and the University's and BOG strategic plan. The further the center/institute's mission is from full congruence with the University's mission, the higher the expectation for fulfilling the quantitative measures described in bullets number 3-6.
2. A determination of the center/institute's progress against defined goals and objectives within the context of the center/institute's mission.
3. Support to graduate students in terms of stipends awarded and the number of theses and dissertations generated from center/institute participation, collaboration, and activity.
4. Faculty scholarly productivity as measured by an average per capita faculty publication rate higher for faculty associated with the center than that for faculty from the same department who are not associated with a center/institute.
5. Revenue production as shown by a higher average per capita contract and grant activity and higher returned F & A than that for faculty from the same department who are not associated with a center/institute.
6. Return on investment as a ratio of external funds to E&G funds, when the latter are provided.
7. Demonstrated interdisciplinary activities.
8. The need for continuation of the institute or center.
9. Possible changes in mission or organizational structure.
10. Budget reduction or expansion.
11. Recommendations for change of classification (State of Florida, infrastructural, or University institute or center), if applicable.
12. Recommendations for status change (active, inactive, terminated), if applicable.

### **DISBANDING OF A CENTER OR INSTITUTE**

FIU Center or Institute Closure ([apa.fiu.edu](http://apa.fiu.edu))

Centers and institutes may be disbanded with recommendation of the Dean, Vice President of Research, and Provost. The Provost forwards the completed form to the Board of Governors.

State University System (SUS) Center or Institute Closure ([www.flbog.edu](http://www.flbog.edu))

BOG REGULATION 10.015 defines the steps in closing a SUS Center or Institute.

### **REASON FOR POLICY (O\*)**

The Florida Board of Governors Regulation 10.015, Institutes and Centers, requires University Board of Trustees to adopt policies for establishing, operating, evaluating, reviewing, and disbanding institutes and centers in the State University System. A copy of the university institute and center policies shall be on file in the Office of Academic and Student Affairs in the Board of Governors office.

### **RELATED INFORMATION (O\*)**

Academic Affairs Procedure: Establishing a New Center or Institute at Florida International University

Academic Affairs Procedure: Annual Center/Institute Reports for Centers and Institutes

Academic Affairs Procedure: Disbandment of Centers and Institutes

Board of Governors Regulation 10.015, Institutes and Centers

### **DEFINITIONS (R\*)**

Centers and institutes (C&Is) are organizational forms designed to further the University's instructional, research, and public service missions in ways that cannot be addressed through traditional structures, such as departments, schools, and colleges. Centers and institutes provide a vehicle for cross-disciplinary collaboration to maximize the capacity of the University to address complex problems, conduct research, educate students, and serve the needs of the state, the nation, and the world. Though C&Is are an integral part of the University, their respective missions should not duplicate those of departments, schools, and colleges. Instead, they should offer programs or opportunities that cannot be offered effectively through existing structures.

By definition, the work of centers and institutes should support the overall mission of Florida International University.

The terms “*center*” and “*institute*” are used interchangeably.

This definition of centers and institutes is not to be confused with facilities that include “Center” in their name (e.g., a NIH-classified “P” award, such as P20 or P56) or units that provide ongoing administrative or support services (e.g., The Writing Center, Copy Center, Graham Center).

### **RESPONSIBILITIES (O\*)**

#### **EXPECTATIONS OF CENTERS AND INSTITUTES<sup>1</sup>**

Centers and institutes are expected to engage in at least seven of the following initiatives, three of which are mandatory:

##### **Mission**

- Respond to the overall mission of the University (mandatory)

##### **Students**

- Educate students (mandatory)
- Create and transfer knowledge to students
- Offer students opportunities to apply knowledge to the real world
- Support graduate students

##### **Faculty**

- Support faculty and research goals
- Increase faculty productivity

##### **Network**

- Increase interdisciplinary interactions
- Engage the community
- Be linked to broader programs and consortia

##### **Impacts**

- Transfer research to technology
- Translation of research findings to usable products for academia and/or public

- Have an impact on the economy

#### **Resource Utilization /Return on Investment (ROI)**

- Show a positive ROI [see Florida International University Request for a New Center or Institute Form, Section 7 for examples at [apa.fiu.edu](http://apa.fiu.edu)] (mandatory)
- Obtain external funding to enhance or replace the University's initial E&G investment

#### **HISTORY (R\*)**

This document, Florida International University Policy on Centers and Institutes, is intended to be the University's policy and guidelines and will replace 13.22 CENTER AND INSTITUTE QUALITY ASSURANCE, 13.20 ROLE OF CENTERS AND INSTITUTES, and 13.21 INITIATION, OPERATION, AND DISBANDING OF CENTERS AND INSTITUTES in the Academic Affairs Policy Manual. Effective Date: September 11, 2007; Revision Date: September 25, 2012.

#### **RESPONSIBLE UNIVERSITY DIVISION/DEPARTMENT (R\*)**

Division of Academic Affairs  
Florida International University

#### **RESPONSIBLE ADMINISTRATIVE OVERSIGHT (R\*)**

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The University Policies and Procedures Library is updated regularly. In order to ensure a printed copy of this document is current, please access it online at <http://policies.fiu.edu/>.

For any questions or comments, the "Document Details" view for this policy online provides complete contact information.

#### **FORMS/ONLINE PROCESSES (O\*)**

Florida International University Request for a New Center or Institute  
Florida International University Annual Center/Institute Report  
Florida International University Center/Institute Disbandment Form

Links to the above referenced Form(s) available in the "Document Details" Section of the online version of this policy document.

**\*R = Required \*O = Optional**

<sup>1</sup> Adapted from William R. Tash and Stephen Miles Sacas, *The Payoff: Evaluating Researchcenters, Institutes, Laboratories and Consortia for Success!* 2004. Scipolicy special editions, no. 1. Haverford, PA: Scipolicy.