



**Centers & Institutes at FIU #370.001**

<b>INITIAL EFFECTIVE DATE:</b>	<b>LAST REVISION DATE:</b>	<b>RESPONSIBLE UNIVERSITY DIVISION/DEPARTMENT</b>
September 25, 2012	December 5, 2022	Academic Affairs

**POLICY STATEMENT**

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

The University Board of Trustees has authorized the FIU President, who has designated the Provost to grant authorization for establishing, operating, evaluating, reviewing, and disbanding 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 Senior 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 (3) FTE (faculty) for approval.

**REPORTING REQUIREMENTS FOR ALL INSTITUTES AND CENTERS**

**Annual Reports for University Institutes and Centers:** The annual report is an Administrative Assessment to define the center’s/institute’s objectives (matching one (1) of the three (3) areas of the mission: teaching, research, or collaborative engagement), assessment methods, and results, along with improvement-based strategies. Measures of at least two (2) performance metrics related to the Strategic Plan are encouraged. The Administrative Assessment (due October 15 of each year) must include follow-ups to the previous year’s use of results for improvement, and a plan for the next year with objectives and measures. Objectives/measures of at least two (2) performance metrics are encouraged.

The Annual Report should be submitted to the Institutional Assessment team at [assessment@fiu.edu](mailto:assessment@fiu.edu). For further information see <https://assessment.fiu.edu/guidelines/administrative-assessment/index.html>.

The Office of Research and Economic Development (ORED) will provide the annual expenditure information for the prior fiscal year, which must be submitted to the University Board of Trustees for approval prior to submission to the Florida Board of Governors by December 1 of each year. Instructions and reporting templates for these annual requests will be determined by the State University System (SUS) Chancellor.

**EVALUATION AND REVIEW CYCLE**

At a minimum, all evaluations/reviews shall include the following:

1. A determination of the institute or center's progress against defined goals and objectives within the context of the institute or center's mission, FIU's mission, and the current Board of Governor's Strategic Plan;
2. An assessment of the return on investment of state dollars, if applicable;
3. The need for continuation of the institute or center;
4. Possible changes in mission or organizational structure;
5. Budget reduction or expansion;
6. Recommendations for change of classification (State of Florida institute or center, or University institute or center), if applicable; and
7. Recommendations for status change (active, inactive, terminated), if applicable.
8. Additional items at the discretion of the Vice President for Research with 30 days advance notice.

Upon completion, a summary of the evaluation/review will be submitted to the FIU Board of Trustees certifying that the evaluation/review contained all the required components using a template provided by the SUS Chancellor. A copy of the summary must be submitted to the Florida Board of Governors' office within thirty (30) days after the FIU Board of Trustees' review.

All University centers and institutes will be reviewed on a seven-year cycle by the Senior Vice President for Research and designee(s), which will contain at least one (1) designee each from the Faculty Senate, Academic Affairs and Finance and Administration. In periods of fiscal exigency or as indicated by a previous review of a center/institute, or as requested by the Provost or Senior Vice President for Research, 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 (3) formative years of a center or institute.

At the discretion of the Senior Vice President for Research or Provost, at least one (1) external consultant may be engaged for the continuation review.

The Review Committee shall provide evaluation feedback to the center or institute director, copying the dean. The Review 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

<p>quantitative measures described in bullets number 3-6.</p> <ol style="list-style-type: none"> <li>2. A determination of the center/institute’s progress against defined goals and objectives within the context of the center/institute’s mission.</li> <li>3. Financial stability/contributions and return on investment as a ratio of external funds to E&amp;G funds when the latter are provided.</li> <li>4. The need for continuation of the institute or center.</li> <li>5. Possible changes in mission or organizational structure.</li> <li>6. Budget reduction or expansion.</li> <li>7. Recommendations for change of classification (State of Florida, infrastructural, or University institute or center), if applicable.</li> <li>8. Recommendations for status change (active, inactive, terminated), if applicable.</li> </ol> <p><b>DISBANDING OF A CENTER OR INSTITUTE</b></p> <p>Centers and institutes may be disbanded with submission of a Center/Institute Disbandment form (<a href="https://aim.fiu.edu/centers.htm">https://aim.fiu.edu/centers.htm</a>) and approval by the Dean, Vice President of Research, and Provost. The Provost forwards the completed form to the Board of Governors.</p> <p>State University System (SUS) Center or Institute Closure (<a href="http://www.flbog.edu">www.flbog.edu</a>) BOG REGULATION 10.015(6) defines the steps in closing a SUS Center or Institute.</p>
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<p><b>REASON FOR POLICY</b></p>
<p>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.</p>

<b>DEFINITIONS</b>	
<b>TERM</b>	<b>DEFINITIONS</b>
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

	<p>programs or opportunities that cannot be offered effectively through existing structures.</p> <p>By definition, the work of centers and institutes should support the overall mission of Florida International University.</p> <p>The terms “center” and “institute” are used interchangeably.</p> <p>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).</p>
<p>Administrative Assessment</p>	<p>format used to report goals and outcomes in alignment with the mission/vision of the unit, the mission/vision of the university, and the Strategic Plan. This report is submitted annually by all administrative units.</p>

<p><b>ROLES AND RESPONSIBILITIES</b></p>	
<p>RESPONSIBILITIES EXPECTATIONS OF CENTERS AND INSTITUTES<sup>1</sup></p>	
<p>Centers and institutes are expected to engage in activities/initiatives illustrated below, with variation based on the nature of the Center:</p>	
<p><b>Mission</b></p> <ul style="list-style-type: none"> <li>• Respond to the overall mission of the University</li> </ul>	
<p><b>Students</b></p> <ul style="list-style-type: none"> <li>• Create and transfer knowledge to students</li> <li>• Offer students opportunities to apply knowledge to the real world</li> <li>• Support graduate students</li> </ul>	
<p><b>Faculty</b></p> <ul style="list-style-type: none"> <li>• Support faculty and research goals</li> <li>• Increase faculty productivity</li> </ul>	
<p><b>Network</b></p> <ul style="list-style-type: none"> <li>• Increase interdisciplinary interactions</li> <li>• Engage the community</li> <li>• Be linked to broader programs and consortia</li> </ul>	
<p><b>Impacts</b></p> <ul style="list-style-type: none"> <li>• Transfer research to technology</li> <li>• Translation of research findings to usable products for academia and/or public</li> <li>• Have an impact on the economy</li> </ul>	
<p><b>Resource Utilization /Return on Investment (ROI)</b></p>	



- 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

<sup>1</sup> Adapted from William R. Tash and Stephen Miles Sacks, *The Payoff: Evaluating Research Centers, Institutes, Laboratories and Consortia for Success!* (Haverford, PA: Scipolicy, 2004).

#### RELATED RESOURCES

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

#### FORMS/ONLINE PROCESSES

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.

#### CONTACTS

Office of Academic Planning and Accountability  
11200 S.W. 8th Street - PC 112 Miami, Florida 33199  
Telephone: (305) 348-1796

#### HISTORY

**Initial Effective Date:** 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.

**Review Dates** (*review performed, no updates*): January 29, 2024

**Revision Dates** (*updates made to document*): September 25, 2012, December 5, 2022.