FAYETTEVILLE STATE UNIVERSITY

CENTERS AND INSTITUTES

Authority:	Issued by the Chancellor. Changes or exceptions to this administrative policy may only be made by the Board of Trustees.
Category:	Academic Affairs
Applies to:	●Administrators ●Faculty ●Staff
History:	Revised – March 28, 2019 Revised – December 10, 2009 Approved – June 1, 2009 First Issued – June 3, 2009
Related Policies:	*Regulations on Planning, Establishing, and Reviewing Centers and Institutes in the University of North Carolina* [UNC Policy 400.5 [R]]
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I.   PURPOSE

The University of North Carolina (UNC) encourages partnerships designed to address complex problems of importance to North Carolina, the nation, and the world. Centers and institutes are particularly effective structures to address such complex issues when efforts require cross-disciplinary or cross-unit coordination. Centers and institutes can result in strengthened and enriched programs around the core missions of research, service, and instruction; enhanced opportunities for faculty, staff and students; and heightened economic impact in the state.

The primary purpose of this policy (Policy) is to guide the planning, establishment, management, and discontinuation of centers and institutes at Fayetteville State University (University), and to outline requirements for management oversight and reporting on centers and institutes.

II.   AUTHORITY

A.   Chancellor

Each center or institute (C/I) situated on the University's campus functions as part of the University and is subject to the administrative management, oversight, and control of the Chancellor (or the Chancellor's designee) as to all activities undertaken by the C/I, including with respect to the use of funds, services, supplies, equipment, information technology resources, vehicles or other University property.

The Chancellor is also responsible for carrying out the requirements of the applicable UNC policies with respect to C/Is and for ensuring that all requirements of this *Policy* are implemented.

B.   Board of Trustees

Consistent with this Policy and with directives of the UNC President or Board of Governors, the Board of Trustees is authorized to establish and discontinue C/Is. The Board of Trustees may delegate to the Chancellor the authority to approve the discontinuation of C/Is.

III.   CENTER/INSTITUTE DEFINED

The term C/I may be used interchangeably; however, the term institute may reflect a broader scope and may indicate a structure containing smaller centers within that structure.

C/Is must be designated as a *research, public service, or instructional* unit in accordance with its primary mission and core activities. C/Is may conduct complementary activities outside of their primary designated mission, but cannot have jurisdiction over academic curricula, although they may offer courses in cooperation with academic units.

A.   Institutional and Inter-Institutional Centers and Institutes

C/Is may be institutional, involving departments, schools, and other C/Is within the University.

C/Is may also be inter-institutional. Inter-institutional C/Is support and promote collaboration across UNC and non-UNC institutions. Inter-institutional C/Is designate one campus as the administrative campus to be responsible for general and fiscal oversight.

B.   Exempt Entities

The following types of entities are exempt from this *Policy*:

- An entity whose mission is to provide focused services to specific University or community constituencies. Examples include the Center for Personal Development, and the Early Childhood Learning Center.
- Facilities that include "center" or "institute" in the building name.
- Activities supported by external grant programs that are called centers or institutes by the funding agencies, unless the funding agency requires formal designation as a University C/I.
- Affiliated or associated entities as defined by UNC policies.

IV.   ESTABLISHING A NEW CENTER/INSTITUTE

Establishing a C/I involves a three-step process. The first step is the pre-planning process. The second step involves seeking authorization to plan a C/I which requires final approval by the Chancellor. The third step is seeking approval to establish a C/I which requires final approval by the Board of Trustees.

A.   Pre-Planning

Prior to requesting authorization to plan a C/I, University personnel who plan to seek such authorization must notify the Provost and Vice Chancellor for Academic Affairs

("Provost") of their intention to begin planning a C/I ("pre-planning"). The pre-planning process shall include the following:

- developing the concept of the C/I,
- demonstrating the validity of the concept,
- defining partner relationships and roles (if any), and
- identifying fiscal and other resources required for sustainability.

A pre-planning period should not exceed two (2) years. If the two (2) year pre-planning period has expired, a request to extend the pre-planning period may be presented to the **Provost.** Such request to extend must include a justification as to why an extension should be approved. The Provost shall make the final determination on the request for an extension**.**

B.   <u>Authorization to Plan</u>

Once the pre-planning period is completed, if the University personnel engaged in the pre-planning of the C/I intend to move forward, a detailed proposal (<u>Authorization to Plan</u>) must be submitted to the Provost. The <u>Authorization to Plan</u> must include <u>all</u> of the following:

- Name of the proposed C/I.
- Mission and goals of the proposed C/I.
- Description of the proposed C/I's administrative structure, including an organizational chart showing the relationship of the proposed C/I to the University and the proposed C/I's internal structure.
- Objectives of the proposed C/I and an explanation as to why the objectives cannot be achieved within existing University or UNC structures, including individual schools, departments, and/or programs.
- Relevance of the proposed C/I to the mission of the University and UNC.
- Description of how the proposed C/I differs from similar centers, institutes, or C/Is within the University, UNC and the State, and proposed relationships with them.
- Potential sources and estimated funding to initiate and sustain the proposed C/I, presented as a five-year projection, including the amounts of (1) General Fund support; (2) non-General Fund support; and (3) in kind support.
- Estimated space, facilities, and equipment needs and plans for meeting these needs.
- If relevant, information about the inter-institutional nature of the proposed C/I with regard to mission, leadership, activities, funding, or other aspects.
- Milestones, timelines, and a list of the parties responsible for planning and establishing the C/I.

Once received, the Provost shall evaluate the <u>Authorization to Plan</u> and determine whether all information required by this *Policy* has been provided. If so determined, the Provost shall consult with relevant administrators/faculty regarding the feasibility of the C/I. Upon completion of the evaluation, the Provost shall determine whether to (1) approve the <u>Authorization to Plan</u> and forward it to the Chancellor, or (2) deny the <u>Authorization to Plan</u> and communicate that decision to those who originally requested the authorization.

If approved by the Provost, the Provost shall forward the Authorization to Plan to the Chancellor for consideration. In the review of the Authorization to Plan, the Chancellor may consult with individuals internal or external to the University. After review, the Chancellor shall (1) approve the Authorization to Plan, or (2) deny the Authorization to Plan. The Chancellor shall communicate the Chancellor's decision to the Provost who shall communicate to those who originally requested the authorization.

If the Authorization to Plan is approved, the Chancellor shall provide a report to the Board of Trustees within 30 days of the Chancellor's approval, or by the next regular meeting of the Board of Trustees, whichever is later. Within the same time period, the Chancellor shall provide a report to the UNC System's Office of Research and Graduate Education.

C. Authorization to Establish

When a C/I approved for planning is able to demonstrate its viability, a formal request to establish (Authorization to Establish) shall be presented to the Provost. Minimum required documentation shall include the items listed in the Authorization to Plan (Section III.A. above) as well as the following:

- Name of the proposed C/I, which appropriately reflects the C/I's mission and scope.
- Identification of the proposed C/I as either a research, public service, or instructional C/I, in accordance with its primary mission and core activities, with the understanding that the C/I may also conduct complementary activities outside of its primary designated mission.
- Organizational structure of the proposed C/I, including name of a proposed Director, description of the membership and function of any proposed advisory or policy boards, and proposed responsibility structure.
- Anticipated benefit of the proposed C/I on the instructional, research and/or public service programs of the University; and, when inter-institutional arrangements are involved, a statement on the anticipated benefits of the proposed collaboration on the instructional, research and/or public service programs of all participating campuses.
- Immediate financial needs, including the amount of General Fund, non-General Fund, and in-kind support that will be required.
- Five-year budget detailing personnel and non-personnel costs and sources of revenue, including state funds, non-state funds, and in-kind support.
- Immediate operating needs, such as space, facilities and equipment, and five-year projections of future space needs.
- When relevant, evidence that inter-institutional arrangements regarding leadership, governance, activities, funding, or other aspects have been reached by the cooperating chancellors or designees.
- An accountability plan that includes specific dates for the initial Director and C/I reviews and how the achievement of the center's or institute's mission, goals, and objectives will be measured, documented, and assessed.
- Letter of support from the administrator to whom the C/I will report. If the C/I is to report to a department chair, the dean must also indicate approval.

- Milestones, timelines, and a list of the parties associated with the establishment of the C/I**.**

The Provost shall evaluate the request and determine whether to (1) <u>approve</u> the request to establish and forward it to the Chancellor or (2) <u>deny</u> the request and communicate that decision to those submitting the request.

If the request is submitted to the Chancellor for approval, the Chancellor shall evaluate the request and determine whether to <u>approve</u> or (2) <u>deny</u> the request. The Chancellor shall communicate the Chancellor's decision to the Provost who shall communicate to those who originally requested the authorization.

If approved by the Chancellor, the <u>Authorization to Establish</u> shall be submitted to the Board of Trustees. If the Board of Trustees approves the <u>Authorization to Establish</u>, the C/I may be established. If the Board of Trustees does not approve the <u>Authorization to Establish</u>, the C/I may not be established. The Chancellor shall communicate the Board of Trustees' decision to the Provost who shall communicate to those who originally submitted the <u>Authorization to Establish</u>. The Provost shall notify the UNC System's Office of Research and Graduate Education prior to the establishment of the C/I.

V. CENTER/INSTITUTE MANAGEMENT

Management of an established C/I includes monitoring and conducting reviews of the C/I and its director.

A. C/I Director

Each C/I shall have a Director who has been approved by the Chancellor. The C/I Director shall report to a senior academic officer designated by the Chancellor. The C/I Director shall be responsible for the day-to-day programmatic, fiscal, and personnel decisions of the C/I.

1. Recruitment and Selection

The recruitment and selection process shall be the responsibility of the senior academic officer to whom the C/I Director will report ("supervising official"). Recruitment and selection of a C/I Director shall conform to the University's employment policies and procedures.

2. Periodic Review of C/I Directors

Each C/I Director shall have an <u>annual</u> performance review as required by the University's performance evaluation policies and procedures. The review of the C/I Director does not serve as a substitute for the periodic review of the C/I, and the review of the C/I does not serve as a substitute for periodic review of the C/I Director.

At least every five (5) years, each C/I Director shall undergo a <u>comprehensive</u> performance review. The supervising official shall be responsible for initiating the review and for acting on its findings and/or recommendations.

Criteria for the C/I Director's <u>annual</u> and <u>comprehensive</u> reviews shall, at a minimum, include the following:

- performance against individual objectives and goals;
- management of fiscal and human resources; and
- feedback on leadership and communication from C/I staff, partners and/or clients.

In responding to unsatisfactory performance in any of these areas, the supervising official shall conform to UNC and the University's human resources policies and procedures.

B.   <u>**Periodic Review of C/Is**</u>

The Chancellor shall be responsible for ensuring that annual and comprehensive evaluations are conducted on each active C/I.

1.   **Annual Review**

No later than January 31st of each year, a written report (for the prior July 1 – June 30 fiscal year) shall be summitted by a C/I Director to the supervising official and the Provost. Upon receipt of the report, but no later than June 30th, an <u>annual</u> review shall be conducted of each C/I. The annual review shall be conducted by the Provost or designee.

The written report shall include the following:

- A description of significant activities within the C/I during the prior year. Activities resulting in press releases and/or other noteworthy events of interest to the general public should be included and highlighted.
- Current funding status (i.e., State, Federal, other sources) with a statement regarding whether the current budget is sufficient to continue operations for the foreseeable future (i.e., for the next five years). Activities that are or will be in place to address any deficiency should be detailed.
- A list of grants with expiration dates that are relevant to the mission of the C/I.
- Publications by C/I faculty that were published during the prior year.
- A current organizational chart that depicts the C/I leadership team and reporting structure.
- A list of current C/I faculty members.
- Numbers of University undergraduate and graduate students trained/served during the previous year by C/I.
- Numbers of non-University students (i.e., K-12, undergraduates, and graduates) taught/served during the previous year by C/I.
- List of activities (i.e., workshops) offered (if any) by the C/I.

Following the completion of the annual review, the Provost shall discuss with the C/I Director and supervising official any concerns. If needed, the Provost shall provide milestones for corrections.

2. **Comprehensive Evaluation**

A <u>comprehensive</u> evaluation shall be conducted of each C/I every five (5) years. External review by a national accrediting or funding body may be considered equivalent to a C/I review if the review results in renewed accreditation or funding. Such a review may serve as a comprehensive review unless the Provost, the Chancellor, or the Board of Trustees otherwise requests a comprehensive review.

a. **<u>Review Panel</u>**

The Provost shall select a review panel to include reviewers who have expertise in the field represented by the C/I under review. Reviewers may be internal or external to the University.

b. **<u>Evaluation Criteria</u>**

The <u>annual</u> and <u>comprehensive</u> reviews shall, at a minimum, address the following:

- Performance measures related to whether the C/I is achieving its mission, along with the degree of success the C/I had in meeting its specific goals and objectives.
- Quality and quantity of scholarly activity (as appropriate per mission), teaching and other instructional activity (as appropriate per mission), and service (as appropriate per mission).
- Sufficiency of funding to continue operations, including the amount and proportion of funds received from General Fund and non-General Fund sources as well as in- kind support.
- Fiscal oversight and compliance with the budget.
- Effectiveness of leadership, organizational structure, and staffing.
- Adequacy of facilities, operational support, and administrative resources.
- Stakeholder feedback (stakeholder defined as appropriate per the C/I's mission).
- Other criteria considered relevant by the Provost.

Additionally, the reports shall include the following:

- Analysis to determine if the C/I duplicates other institutional, UNC, or State entities.
- Analysis to determine if the C/I's work can be effectively accomplished by a single department or program.

c. **<u>Report</u>**

The reviewers shall submit a written report to the Provost within thirty (30) days following completion of the review. The entire review process shall be completed within a four-month period.

The report shall address the areas listed above in addition to the following:

- whether the C/I's mission is realistic, feasible, and capable of meeting the needs of the University and wider community;
- the feasibility of the C/I's plans for the future;
- recommendations for improving academic and administrative effectiveness; and
- Any other recommendations for improvement.

Once completed, the report shall be forwarded to the Provost.

d. **Administrative Review**

The Provost and the supervising official shall review the report and determine one of the following courses of action:

i.   **Continue the C/I**. If the review demonstrates that the C/I continues to meet the established criteria, then the C/I may be continued. Modifications in the title, mission, goals, objectives or organization of the C/I may be considered.

ii.   **Combine with Other Existing C/Is.** If the review demonstrates that two or more C/Is have similar specific missions and goals, then the C/Is maybe consolidated into a single C/I. This will require a change in title, mission, goals, objectives or organization.

iii.   **Discontinue the C/I**. A C/I may be discontinued for a variety of reasons, including but not limited to lack of fiscal resources for sustainability, termination of a supporting grant or award, lack of fit with departmental, college or institutional missions or objectives, or a change in institutional priorities. A C/I recommended for discontinuation shall have one (1) year (after the end of the academic year in which final approval is given to discontinue the C/I) in which to cease operations.

If a decision is made to discontinue the C/I, the process outlined below must be followed.

VI. DISCONTINUATION OF CENTERS AND INSTITUTES

A C/I may be discontinued based upon the following:

- The C/I unnecessarily duplicates the mission and/or activities of another University C/I or center or institute within the UNC system.
- Insufficient financial, human, or facilities resources are available to support the C/I.
- The major supporting grant or award has been terminated.
- The C/I has failed to achieve its mission, goals, or objectives.
- The mission, goals, and objectives of the C/I are no longer congruent with those of the administrative C/I to which it reports or the University.
- The C/I no longer meets the definition of a center or institute as described in Section III of this policy.
- Any other determination by the Provost or Chancellor that is deemed significant enough to discontinue the C/I.

If the Provost determines that discontinuation is warranted, the Provost will recommend to the Chancellor that the C/I be discontinued. If approved, the Chancellor will recommend such to the Board of Trustees. If the Board of Trustees approves the discontinuation, the Provost will notify the UNC System's Office of Research and Graduate Education.

The supervising official, in collaboration with the C/I Director, shall develop a plan for phasing out the C/I in such a manner as to effect an orderly transition. This plan must include any terminations or transfers of contractual obligations along with efforts to find alternative employment for full-time staff. Normally, the phase-out period will not be more than one (1) year in duration.

Inter-institutional C/Is will require documented agreement by the Chancellors at the collaborating institutions before the recommendation to discontinue is presented to the Chancellor and Board of Trustees.

## VII.	POLITICAL AND LEGISLATIVE ACTIVITY

University employees assigned to C/Is are subject to UNC and University policies and state laws governing political activities of employees. Such activities include prohibitions against engaging in political activities while on duty. Prohibitions also exist against using the authority of one's position or University or C/I funds, services, supplies, equipment, information technology resources, vehicles or other resources in support of political activities.

The Internal Revenue Code (IRC) limits the extent to which tax-exempt bodies may engage in activities directed towards influencing legislation (lobbying), subject to applicable exceptions. The University is considered a tax-exempt body. Each C/I remains subject to the direction of the University when engaging in legislative (lobbying) activities, which shall be conducted in compliance with all State and federal laws.

The Provost shall be responsible for overseeing and exercising appropriate control over the activities of a C/I, and for ensuring that the Director and professional staff of each C/I receives comprehensive annual training concerning IRC restrictions on political and legislative activities by tax-exempt organizations.