

UCCS EPUS Committee Meeting

Date: December 3, 2020

Time: 1:30pm

Location: Teams (Online)

Attendees: Jackie Berning, Christine Robinson Coon, Anna Faria, Monique French, Norah Mazel, Scott Trimboli

1. Reviewed the most recent draft of **APS 200-013: Establishment and Review of Centers and Institutes** (included on page 2)
 - a. Decided that EPUS will ask Faculty Representative Assembly to endorse this policy revision at its December meeting.
 - b. Norah Mazel will bring the motion to endorse the policy to the Faculty Assembly Executive Committee meeting on December 4 so that it can be added to the FRA meeting agenda.

Next Meeting: TBD (Spring 2021 Semester)

UCCS CAMPUS POLICY

Policy Title: Establishment and Review of Centers and Institutes

Policy Number: 200-013

Policy Functional Area: ACADEMIC AFFAIRS

Effective: DATE

Approved by: Venkat Reddy, Chancellor

Responsible Vice Chancellor: Executive Vice Chancellor of Academic Affairs (EVCAA)

Office of Primary Responsibility: EVCAA

Policy Primary Contact: Associate Vice Chancellor for Research

Supersedes: March 5, 2016

Last Reviewed/Updated: DATEDATE

Applies to: Administrators and Faculty

Reason for Policy: This policy describes the establishment and review process for *Centers* and *Institutes* including factors to be considered and schedule.

I. INTRODUCTION

Centers and *Institutes* provide a valuable resource for expanding opportunities for student learning and for faculty research, leadership, and service. Centers and Institutes have academic missions that complement the university's and typically provide interdisciplinary connections that enable unique interactions among faculty, students, and community members. Definitions, establishment, and review process for the campus's Centers and Institutes should assist the campus and appropriate colleges in meeting their goals and help the Centers and Institutes themselves be more successful.

II. POLICY STATEMENT

1. Purpose

This policy is created in accordance with System Administrative Policy Statement (APS) 1008, "Procedures for the establishment of institutes," January 1, 2018 to establish the processes for approval of new Centers and Institutes, as well as review of existing Centers and Institutes. This campus policy does not apply to small entities (defined in Section 3). Small entities are encouraged, but not required, to follow the processes below. Centers and Institutes established prior to this policy shall be subject to review as outlined below.

2. Principles

UCCS *Centers* and *Institutes* are critical to the reputation of the University and must therefore:

- a. Be appropriate to the mission of the University
- b. Not damage the reputation of the University
- c. Impose no undue financial burdens to the University
- d. Adhere to standards of academic freedom

3. Definitions

Small Entities, *Centers* and *Institutes* established prior to this policy, are encouraged, but not required, to follow these definitions in their naming convention.

a. Small Entities: Entities with a narrow scope of inquiry, with limited interdisciplinary activity, usually resides in a single department. Typically, these entities rely on only one source of funding (e.g, by the primary unit) with administrative support provided by the primary unit. Small entities are encouraged, but are not required, to follow this policy for establishment. Small entities may not use the name *Center*. Small entities can include, but are not limited to:

- Laboratory
- Program
- Collaborative
- Bureau
- Cooperative

b. Centers: Entities with a multidisciplinary scope, usually crosses departments and sometimes schools and colleges and may include a community partnership. *Centers* are characterized by less programmatic autonomy and less independence relative to *Institutes*. *Centers* are typically organized around the investigation of a fairly specific theme, issue, project, or policy topic but often encompass interdisciplinary work spanning a number of academic fields. The lifetime of a *Center* is often limited by the time and financial commitment to completing the particular project. Typically, *Centers* are a standalone entity and rely on committed college or central campus funding and/or external funding. Administrative support is typically provided by the *Center* or by the college/school or central campus. Depending on how they are housed, *Centers* report to a Department Chair, Dean, or Executive Vice Chancellor for Academic Affairs, or designee. To use the designation of “*Center*” the name must be approved following this establishment policy.

c. Institutes: An *institute* is defined as a single or multi-disciplinary unit that is organized for the primary purpose of research and creative work. The mentoring of students within the research and creative work is an important goal of institutes. Likewise, providing public and professional leadership and service related to the fields of the institute is expected. Institutes are characterized by organizational permanency, programmatic autonomy, a broad program of study, and an annual operating budget that is fiscally independent of other academic units. They are expected to have substantial external funding (typically over \$1 million/year), commitments for associated faculty lines, evidence of long-term sustainability, a program of research training, and substantial infrastructure. Faculty and research/teaching staff in institutes usually participate in interdisciplinary graduate/undergraduate education programs. Institutes report to the Chancellor or their designee,

and go through rigorous program review. To use the designation of “Institute” the *Institute* must follow this establishment and review policy.

4. Standard *Center* Establishment Approval

- a. Establishment of a new *Center* must begin with the development of a Charter for the proposed unit. The Charter must describe the primary purpose of the unit, its relationship to the mission of UCCS, its administrative and fiscal structure, its bylaws, and the capabilities for implementation. The Charter must identify the primary mission of the Center as research, education, community, or support service. The Charter should follow the format of the Establishment Template.
- b. A complete Charter shall be reviewed by the appropriate department chair (if housed within a department), the appropriate dean (if housed within a college), the chair of Faculty Assembly, the Executive Vice Chancellor for Academic Affairs (EVCAA), campus compliance and campus legal counsel. Their recommendations shall be forwarded to the Chancellor, who shall have final authority for the approval of any new Center.
- c. Within one month of approval, the *Center* shall post the approved Charter on a publicly available website and provide a copy of the Charter to the EVCAA. If determined appropriate by the Associate Vice Chancellor for Research, the unit shall also provide a copy of the Center’s *Facilities and Administrative (F&A)* distribution plans to the Executive Director of the Office of Sponsored Programs and Research Integrity (OSPRI).

5. Standard *Center* Review Procedures

The goal of a standard *Center* review is to help ensure that the Center’s mission, goals, and objectives remain relevant and viable, to evaluate a Center’s success in fulfilling those goals, and to facilitate strategic planning. Center directors and employees may provide and/or receive formative feedback on *Center* activities and progress during their annual review. Under normal circumstances each *Center* shall be reviewed no more than once within a seven-year period. Deviations from this schedule may be necessary and will be determined on a case-by-case basis by the EVCAA with input from the Vice Chancellor for Administration and Finance (VCAF).

- a. *Centers* with a primary research mission and/or that participate in sponsored program activity may be reviewed by the EVCAA, or designee, in accordance with this policy.
- b. *Centers* with a primary educational mission may be reviewed by the EVCAA, or designee, in accordance with this policy. Centers affiliated with a particular academic unit that has a regularly scheduled program review, may be reviewed at the same time as the unit, following policy 200-006.
- c. *Centers* with a primary community service mission may be reviewed by the EVCAA, or designee, in accordance with this policy.
- d. Campus service-oriented centers that provide internal services to faculty and/or students may be reviewed by the EVCAA, or designee, in accordance with this policy.
- e. *Centers* that include formal affiliation agreements with third parties will be subject to additional, periodic program review at the discretion of the EVCAA or the VCAF.
- f. The scheduling of a review requires a six-month lead time prior to the execution of the review. The appropriate Vice Chancellor, or their designee, shall notify the Center Director of the scheduled review and will put the anticipated timeline in writing.

- g. Factors to be considered during the review include, but are not limited to:
 - i. Role, mission, goals, and objectives of the *Center*.
 - ii. Success in meeting the goals and objectives, and in satisfying its roles and mission.
 - iii. Alignment of role, missions, goals, and objectives of the *Center* with the University.
 - iv. Risks and liabilities.
 - v. Resources consumed or generated by the *Center*.
- h. Potential members of a review team will be recommended by the EVCAA, or designee, with input from the Center Director and the appropriate dean(s). This review team must be formed with the objectives of the *Center* in mind, and to maximize the likelihood of a thorough and comprehensive review. This means that the review team should involve faculty and administrators from the campus. The review team will include at least one representative from the budget office and one representative from Faculty Assembly. The appropriate Vice Chancellor, or their designee will convene the review team but is not part of the review team.
- i. The Center Director will prepare a self-study report prior to the review. This report will include, but not be limited to the following:
 - i. A copy of the most recently approved Center Charter.
 - ii. A copy of all past Center Charters.
 - iii. A proposed updated Center Charter.
 - iv. The history of any prior reviews and/or audits, along with the results from those reviews.
 - v. A one-page summary narrative of the successes, impact, and areas for improvement of the Center since the last review or since establishment.
 - vi. Evidence of success of the Center in meeting its goals and objectives, as defined in its Charter its Charter, and in past reviews.
 - vii. Budget information – for example: expenditures, off-loads, and sources of funds.
 - viii. Changes in activities or approaches being pursued since the last review or since establishment, including any unforeseen changes or new risks.
 - ix. The history of institutional support, if applicable, and needs for any future institutional support.
 - x. Goals and objectives, quantified as much as possible, to be met prior to the next review.
- l. The Center Director will make a formal presentation highlighting the contents of this report. This presentation will occur at the beginning of the team’s review activities, but no sooner than 6 months following the initial notification of the review initiation in Section 5(e).
- m. Following the presentation, the review team will identify if any additional activities are to be undertaken in the review.

- n. The review will be completed within 3 months of the Center Director's presentation. The appropriate Vice Chancellor, or their designee has discretion to grant a reasonable extension of this deadline. After the review has been completed, the review team will deliver a brief written summary of their review findings and recommendations to the EVCAA or their designee. A copy of the summary will be made available to the Center Director.
- o. The review should result in specific recommendations including, but not limited to, one of the following:
 - i. Approval for continuance without reservations.
 - ii. Approval for continuance with a modification of the Charter (requires legal review and approval by the Chancellor).
 - iii. Approval for continuance with annual review for a number of specified years. The Center Director will document in a report to the EVCAA or their designee annually for the designated number of years how the unit is responding to the recommendations from the review.
 - iv. Discontinuance.
- p. Based on the results of the review and other input as appropriate, the EVCAA or their designee will make a written recommendation to the Chancellor. A copy of this recommendation will be made available to the Center Director. The Center Director has the option to submit a short, written response to the recommendation within 14 calendar days to the Chancellor. The Chancellor shall have final authority for reauthorization or termination.
- q. It is the expectation that no funds will be needed to assist in the review. In the rare event that any funds are needed, the EVCAA and the *Center* undergoing review will determine whether and how to share the costs.

6. *Center* Reauthorization or Discontinuance

- a. Within one month of the Chancellor's decision for reauthorization, the *Center* will provide an updated Charter to the EVCAA. The Charter must be posted on a publicly available website. When appropriate, the unit must also provide an updated copy of any Center **F&A** distribution plan to OSPRI.
- b. Within one month of the Chancellor's decision for discontinuance, the Center Director will provide a termination planning document outlining how to resolve all outstanding matters, including remaining financial obligations and contractual compliance, to the EVCAA or their designee for approval.
- c. Should a *Center* choose to permanently discontinue by their own accord, the Center Director shall notify the EVCAA within 30 working days of the decision and provide a termination planning document as outlined in 6b.

7. Standard **Institute** Establishment Approval

- a. Establishment of a new *Institute* must begin with the development of a program plan (Charter) for the proposed unit. The Charter must describe the purpose of the Institute, its relationship to the mission of UCCS, its administrative and fiscal structure, its bylaws, and the capabilities for implementation. The Charter should follow the format of the Establishment Template.
- b. Written documentation of the fiscal control provisions (i.e., accounting procedures, use of general funds, terms and conditions of expenditure and authorization, agreements for facilities and administration cost recoveries, etc.) shall be required for each Institute, per APS 1008 Section III (B).
- c. A written request and justification for the appointment of the Institute Director and other chief administrative officer of the Institute.
- d. A complete Charter shall be reviewed by the chair of Faculty Assembly, the appropriate dean, the Associate Vice Chancellor for Research, the EVCAA, the VCAF, campus risk management, campus compliance, and campus legal counsel. Their recommendation shall be forwarded to the Chancellor, who shall have final authority to approve the Institute proposal and notify the Board of Regents, per APS 1008.
- e. Approval of the *Institute* will be for an initial period of seven years

8. Standard *Institute Review* Procedures

The goal of a standard *Institute* review is to help ensure that the Institute's mission, goals, and objectives remain relevant and viable, to evaluate an Institute's success in fulfilling those goals, and to facilitate strategic planning. Institute directors and employees may provide and/or receive formative feedback on activities and progress during their annual review. Under normal circumstances each Institute shall be reviewed no more than once within a seven-year period. Deviations from this schedule may be necessary and will be determined on a case-by-case basis by the EVCAA with input from the VCAF.

- a. *Institutes* shall be reviewed within a seven-year period. As defined in APS 1008, *Institutes* undergo rigorous program review similar to that for academic departments.
- b. *Institutes* that include formal affiliation agreements with extramural organizations may be subject to additional periodic program review at the discretion of either the EVCAA or the VCAF.
- c. The scheduling of a review requires a six-month lead time prior to the execution of the review. The EVCAA, or designee, shall notify the Institute Director of the scheduled review. The EVCAA, or designee, will provide an anticipated timeline for the review process.
- d. Factors to be considered during the review include, but are not limited to:
 - i. Role, mission, goals, and objectives of the *Institute*.
 - ii. Success in meeting the goals and objectives, and in satisfying its roles and mission.
 - iii. Alignment of role, missions, goals, and objectives of the Institute with the University.
 - iv. Risks and liabilities.
 - v. Resources consumed or generated by the Institute.
- e. An *Institute* review team will be coordinated by the EVCAA, or designee. Potential members of a review team will be recommended by the EVCAA, or designee, with input from the Institute Director and the appropriate dean(s). This review team must be formed with the objectives of the Institute in mind, and to maximize the likelihood of a thorough and comprehensive review. This means that the review team should involve faculty and administrators from the campus, as well as relevant external representatives from the appropriate communities (geographical and/or disciplinary). The review team will include at

least one representative from the budget office and one representative from Faculty Assembly.

- f. The Institute Director will prepare a self-study report prior to the review. This report will include, but not be limited to, the following:
 - i. A copy of the most recently approved Institute Charter.
 - ii. A copy of all past Charters.
 - iii. A proposed updated Charter.
 - iv. The history of prior reviews and/or audits, along with the results from those reviews.
 - v. A summary narrative, no more than 3 pages, of the successes, impact, and areas for improvement since the last review or since establishment.
 - vi. Evidence of success of the Institute in meeting its goals and objectives, as defined in the Charter, and in past reviews.
 - vii. Evidence that Institute functions are aligned with the mission, vision, and core values of UCCS.
 - viii. Written documentation of the fiscal control provisions (i.e., accounting procedures, use of general funds, terms and conditions of expenditure and authorization, agreements for facilities and administration cost recoveries, etc.).
 - ix. CVs/resumes of Institute staff, leadership, faculty, and any research affiliates.
 - x. The past annual performance review self-evaluations of the Institute Director.
 - xi. Changes in activities or approaches being pursued since the last review or since establishment, including any unforeseen changes or new risks.
 - xii. Goals and objectives, quantified as much as possible, to be met within the next seven year period.

- g. The Institute Director will make a formal presentation to the review team highlighting the contents of this report. This presentation will occur at the beginning of the team's review activities, but no sooner than 6 months following the initial notification of the review initiation in Section 8(c).

- h. Following the presentation, the review team will identify the activities to be undertaken in the review. This could include, for example, tours of facilities, interviews with faculty, administrators, and external constituencies. The review team will consult the [academic program review rubric](#) to inform the scope and depth of the review.

- i. The review will be completed within 6 months of the director's presentation. The EVCAA, or designee, has discretion to grant a reasonable extension of this deadline. After the review has been completed, the review team will deliver a brief written summary of their review findings and recommendations to the EVCAA. A copy of the summary will be made available to the Institute Director.
- j. The review should result in specific recommendations including, but not limited to, one of the following:
 - i. Approval for continuance without reservations.
 - ii. Approval for continuance with a modification of the Charter (requires legal review and approval by the Chancellor). Approval for continuance with annual review for a number of specified years. The Institute Director will document in a report to the EVCAA or their designee annually for the designated number of years how the unit is responding to the recommendations from the review.
 - iii. Discontinuance.
- k. Based on the results of the review and other input as appropriate, the EVCAA or their designee will make a written recommendation to the Chancellor. A copy of this recommendation will be made available to the Institute Director. The Director has the option to submit a short, written response to the recommendation within 14 calendar days to the Chancellor. The Chancellor shall have final authority for reauthorization or termination.
- l. It is the expectation that no funds will be needed to assist in the review. If any funds are needed, they will be provided by the *Institute* undergoing review.

9. *Institute* Reauthorization or Discontinuance

- a. Within one month of the Chancellor's decision for reauthorization, the Institute will provide an updated Charter (with updated fiscal control provisions) to the EVCAA. The Charter must be posted on a publicly available website. When appropriate, the Institute must also provide an updated copy of any [F&A](#) distribution plans to OSPRI.
- b. Within one month of the Chancellor's decision for discontinuance, the Institute Director will provide a termination planning document outlining how to resolve all outstanding matters, including remaining financial obligations and contractual compliance, to the EVCAA or their designee for approval.
- c. Should an Institute choose to permanently discontinue by their own accord, the Director shall notify the Chancellor within 30 working days of the decision and

provide both the Chancellor and the EVCAA with a termination planning document as outlined in 9b.

III. KEY WORDS AND DEFINITIONS

- a. Institute
- b. Center**
- c. Small Entity
- d. F&A

IV. RELATED POLICIES, PROCEDURES, FORMS, GUIDELINES, AND OTHER RESOURCES

a. Administrative Policy Statements (APS) and Other Policies
APS 1008: Procedures for the Establishment of Institutes

b. Procedures
Program Review Rubric
Center Pitch Process

c. Forms

Establishment Charter Template

V. HISTORY

Initial policy approved March 1, 2005