

July 27, 2004

M E M O R A N D U M

TO: Members, State University Presidents Association

FROM: Debra Austin, Chancellor

SUBJECT: Institutes and Centers

AUTHORITY: Article IX, Section 7, of the Constitution of the State of Florida

POLICY/PURPOSE: To establish policies and procedures for approving, classifying, operating, reviewing, and disbanding institutes and centers in the State University System.

Florida Board of Governors Resolution, October 22, 2003

Florida Administrative Code 6C-3.001 - Systemwide Uniform Procedures, as adopted by the Florida Board of Governors on January 7, 2003

Introduction

Definition

Institutes and centers are university entities established to coordinate intra- and interinstitutional research, service, and/or educational/training activities that supplement and extend existing instruction, research, and service at the universities. In some cases, institutes and centers are established to provide the infrastructure needed to coordinate support activities across the State University System (e.g., Florida Center for Library Automation, University Press).

Exclusions

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 Institute of Food and Agricultural Sciences (IFAS); the University of Florida Health Sciences Center; the University of South Florida

Health Sciences Center; the Florida State University Health Sciences Center; the Florida Mental Health Institute; and university advising, student health, computing, and certain other centers. However, entities such as IFAS and the health sciences centers may have institutes or centers under their purview that are covered by the policies referenced in this document.

Types

Institutes and Centers are classified as either (1) State of Florida institutes or centers or (2) university institutes or centers.

State of Florida Institutes and Centers

Characteristics of a State of Florida Institute or Center

- Has a statewide mission.
- Includes two or more State universities.
- Must be approved by the Florida Board of Governors.
- Has a Memorandum of Understanding among the presidents or their designees from all participating universities and the Chancellor or designee that specifies the host institution and outlines operational procedures for the institute or center.
- Has an advisory board with membership as designated in the Memorandum of Understanding.
- Has a separate unit account in the host university's operating budget.
- May spend State funds appropriated to the institute or center according to Legislative and/or university decisions.
- May spend "other" funds (e.g., fees; contracts and grants—including private, federal, and State contracts and grants not appropriated through the Educational and General budget entity).

Establishment of a State of Florida Institute or Center

For a new State of Florida institute or center, university personnel shall prepare and submit a proposal (per guidelines approved by the Council of Academic Vice Presidents) to the Office of Academic and Student Affairs in the Division of Colleges and Universities. The proposal shall include a draft of the proposed Memorandum of Understanding, which has been approved by the board of trustees at the host university. The proposal shall be considered by the Council of Academic Vice Presidents for recommendation to the State University Presidents Association. The Chancellor shall consider the recommendation of the State University Presidents Association in requesting approval from the Board of Governors and in requesting Legislative funding. Any State of Florida institute or center must receive full approval from the Florida Board of Governors prior to implementation.

Operation of a State of Florida Institute or Center

For each State of Florida institute or center, the Memorandum of Understanding shall contain, at a minimum:

- (1) the name of the State of Florida institute or center;
- (2) the identification of a university as the host institution and other SUS participating members;
- (3) the mission of the State of Florida institute or center;
- (4) guidelines for appointing, funding, supervising, and evaluating the director of the State of Florida institute or center;
- (5) the criteria for appointments to the institute or center's advisory board, including terms, roles, and authority;
- (6) expectations for the administrative and logistical support for the institute or center, including expectations regarding the reimbursement to the host university for direct costs of administrative services rendered by the university to the institute or center;
- (7) procedures for recommending increases/decreases in the appropriation of State funds for the institute or center;
- (8) specifications for the processing of contracts and grants, including the percentage of overhead funds to be returned to the institute or center; and
- (9) expectations for the cyclic review of the institute or center and other planning and expectations for its operation.

State of Florida Institute and Center Reporting and Evaluation/Review Requirements

State of Florida institutes and centers shall be reviewed based on criteria and procedures established by the Council of Academic Vice Presidents. At a minimum, the reviews shall include an assessment of each institute or center's progress against defined goals and objectives within the context of the institute or center's statewide mission and the Florida Board of Governor's Strategic Plan. Each review shall include an evaluation of performance-based outcomes. The review also shall include an assessment of the return on investment of State dollars, if applicable. Additional criteria for the review of a given institute or center may be contained in the Memorandum of Understanding. External consultants may be used in the review process. Issues to be addressed during the review may include the need for continuation of the institute or center; possible changes in mission or organizational structure; budget reduction or expansion; and/or a recommended change of classification from a State of Florida institute or center to a university institute or center. At a minimum, the Council of Academic Vice Presidents shall review each State of Florida institute or center every five years.

Disbanding a State of Florida Institute or Center

State of Florida institutes and centers shall be disbanded at the recommendation of the Council of Academic Vice Presidents and upon the approval of the Board of Governors. In the event that a disbanded institute/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. Fiscal information must be provided as part of the annual reporting process if the institute or center expends any funds during the fiscal year in which it is disbanded.

University Institutes and Centers

Characteristics of a University Institute or Center

- Generally is established by a single university; in some instances, additional institutions may participate, in which case one institution is designated as the host university.
- May expend State funds appropriated to the institute or center according to Legislative and/or university decisions.
- May expend “other” funds (e.g., fees; contracts and grants—including private, federal, and State contracts and grants not appropriated through the Educational and General budget entity).

Establishment and Operation of a University Institute or Center

Each institution shall develop and publish clearly defined guidelines consistent with System policies for establishing, operating, evaluating/reviewing, and disbanding university institutes and centers. A current copy of university guidelines shall be on file in the Office of Academic and Student Affairs in the Division of Colleges and Universities. Each university president or provost, if so designated by the trustees, may grant authorization for the development and implementation of university institutes and centers.

University Institute and Center Evaluation/Review Requirements

In the written university policies submitted to the Division of Colleges and Universities, each university shall include guidelines for the periodic review of university institutes and centers. At a minimum, each review should include an assessment of the institute or center’s progress against defined goals and objectives within the context of the institute or center’s mission, the university’s mission, and the Florida Board of Governor’s Strategic Plan. The review also should include an assessment of the return on investment of State dollars, if applicable. A

formal review shall be conducted at least every seven years to determine if a university institute or center should be continued, should be classified as inactive, should be discontinued, or should apply for classification as a State of Florida institute or center.

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Disbanding a University Institute or Center

When a university institute or center is disbanded, the university shall notify the Office of Academic and Student Affairs in the Division of Colleges and Universities. 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. Fiscal information must be provided as part of the annual reporting process if the institute or center expends any funds during the fiscal year in which it is disbanded.

Initial Reporting Requirements for All Institutes and Centers

The host university shall provide the following basic descriptive, contact, and fiscal information to the Office of Academic and Student Affairs in the Division of Colleges and Universities upon the establishment of each institute or center so that the information may be maintained in the Division's statewide database and on its Web site.

- The name of the institute or center.
- The name of the host university.
- The primary discipline(s) with which the institute or center is affiliated.
- An indication of whether the institute or center receives a specific appropriation from the Legislature.
- The name of the director of the institute or center.
- Contact information, including the mailing address; telephone and fax numbers; the institute or center's Web site; and the e-mail address for the director.
- A list of institutions of higher education affiliated with the institute or center.
- The mission of the institute or center.
- Key terms that identify the primary foci of the institute or center.
- Estimated total funds to be expended by the institute or center in the next fiscal year (or current year, if mid-year proposal) by funding source (State Appropriation to the State University System, Contracts and Grants, Fees for Services, and Private & Other Funds) and by entity (Education and General, IFAS, Health Sciences Center).
- Estimated total positions to be allocated to the institute or center for the next fiscal year (or current year, if mid-year proposal) by funding source and type of position.

Annual Reporting Requirements for All Institutes and Centers

No later than September 30 of each year, each provost or his or her designee shall review the inventory of authorized institutes and centers to determine the accuracy of information that is maintained by the Division of Colleges and Universities. Additionally, a report of actual and estimated expenditure and position data, as well as evaluation/review information, shall be submitted for all institutes and centers that are approved for all or part of a given fiscal year (July 1-June 30):

- 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 & Other Funds) and by entity (Education and General, IFAS, Health Sciences Center).
- Total positions during the previous fiscal year (July 1-June 30) by funding source and type of position.
- The date of the last evaluation/review.

Contact: Office of Academic and Student Affairs,
SUNCOM 205-0467, Local 245-0467

DA/cdm