

UNIVERSITY OF MASSACHUSETTS
POLICY ON CENTERS AND INSTITUTES

I. DEFINITIONS

As used in this policy, the following words shall have the following meaning:

Center or Institute - An organizational unit within one or more campuses or the President's Office created to implement academic and training programs, clinical or community service, or research activities that cannot ordinarily be accommodated within existing departmental structures. Entities called "centers" whose purpose is to provide services to the University community (including day care centers, learning centers, computer centers and other such entities as may be so designated by the Chancellor of each campus) shall not be considered Centers or Institutes for the purposes of this policy.

Further, an *Institute* is a distinct and free-standing unit of substantial size. Institutes may engage in a wide variety of research, public service, and instructional activities, typically in areas of broad concern. Institutes are frequently interdisciplinary and embrace ideas and personnel from various departments, colleges, and schools. A *Center* is ordinarily a subordinate unit within an existing department, school, college, or institute; interdisciplinary centers may, however, report to the Provost or Chancellor. Centers should make a significant contribution to the major academic unit of which they are a part.

II. CAMPUS AUTHORITY FOR CENTERS AND INSTITUTES

Each campus shall have policies and procedures governing the definition, establishment, review, administration and termination of Centers and Institutes. Every Center or Institute, whether free-standing units or sub-units of schools, colleges, departments or other organizational units, and regardless of its source of funding, shall be included within the purview of campus policies. The exceptional use of the name center or institute by campus entities that do not conform to the definition of Center or Institute set forth above shall be addressed in each campus policy. Campus policies must be approved by the President of the university. The President shall have the authority to establish, review, and terminate Centers and Institutes that are affiliated with the President's Office.

III. CREATION AND APPROVAL OF CENTERS AND INSTITUTES

Campus approval of new Centers and Institutes shall be based, at a minimum, on the appropriateness of the center or institute to the mission and goals of the campus, and adequacy of resources, including capital investment.

The establishment of a new center or institute shall require the approval of the President upon recommendation of the campus Chancellor.

IV. REVIEW OF CENTERS AND INSTITUTES

All campus policies shall provide for the review of Centers and Institutes at least every five years. Centers and Institutes shall be evaluated on their success in meeting their own goals and objectives as well as their substantive contribution to the mission of the campus. Once a Center or Institute has been reviewed, a recommendation to continue said Center or Institute must be approved by the President upon recommendation of the campus Chancellor.

V. TERMINATION

Campus policies governing Centers and Institutes shall include appropriate mechanisms and criteria for the termination of said units.

**UNIVERSITY OF MASSACHUSETTS AMHERST
CAMPUS PROCEDURES FOR CENTERS AND INSTITUTES
(Doc. T96-096)**

PREAMBLE

The University of Massachusetts Board of Trustees approved a University-wide policy on Centers and Institutes (Trustee Document T96-096, August 7, 1996, revised on October 9, 1996). The Amherst campus policy on Centers and Institutes amended to conform with the University policy was recommended by the Faculty Senate on February 20, 1997 (Doc. 97-027) and approved by the President in June, 1997.

A. DEFINITIONS AND DISTINCTIONS

Centers and Institutes are organizational units on the Amherst campus created to implement academic and training programs, clinical or community service, or research activities that cannot ordinarily be accommodated within existing department structures. Centers and Institutes cannot award degrees or offer majors or courses for regular University credit, nor can they hire tenure-track or tenured faculty.

Institutes

An institute is a distinct and free-standing unit of substantial size. Institutes may engage in a wide variety of research, public service, and instructional activities, typically in areas of broad concern. Institutes are frequently interdisciplinary and embrace ideas and personnel from various departments, colleges, and schools. Ordinarily Institutes on the Amherst campus report to a Vice Chancellor or Provost.

Clear reporting lines and structure for responsible oversight must be established. Institutes may make personnel appointments within this reporting structure, but only degree-granting departments can make official faculty appointments. Institutes traditionally occupy their own identifiable physical space and have the opportunity to bring to it researchers, specialists, fellows, and other associates. The mission of an Institute is the promotion of research in knowledge of some science or subject of broad concern and, often, the communication of this knowledge to a broader public.

Centers

A Center is ordinarily a subordinate unit within an existing department, school, college or institute whose department head/chair, director or dean has management oversight and appointing authority. Centers should make a significant contribution to the major academic unit of which they are a part.

All documents and publications should clearly identify the Center as being part of the parent unit. Any commitment of personnel, space and other resources should have the prior approval of

the appropriate chair and dean. Centers should be established for the purpose of concentrating research, teaching and/or service efforts within a clearly defined academic area. They should have an adequate concentration of talent to carry out their mission.

Centers, Institutes, and similar organizations share the following characteristics: their activities are linked to the educational mission of the University and its long range plans; their activities extend beyond the campus in some way, either through public service, funding or other resource arrangements; and their resources are sufficient to carry out their stated mission.

Scope of Campus Authority Concerning Centers and Institutes

Every Center or Institute, whether free-standing units or sub-units of schools, colleges, departments or other organizational units, and regardless of its source of funding, shall be included within the purview of the campus policy.

There are two exceptions on the Amherst campus that involve the use of the name center or institute that do not conform to the definitions above. The first are entities called "centers" whose purpose is to provide services to the campus community, including day care centers or computer centers, such as the Center for Teaching, the Fine Arts Center and the Learning Resources Center. The second involves names that have been "grandfathered" because of historical usage or permitted when required by an external agency, such as the Social and Demographic Research Institute/ SADRI, located in a department.

B. CREATION AND APPROVAL OF CENTERS AND INSTITUTES

Campus approval of new Centers and Institutes shall be based, at minimum, on the appropriateness of the Center or Institute to the mission and goals of the campus, and adequacy of resources, including capital investment. The establishment of a new center or institute shall require the approval of the University President upon recommendation of the campus Chancellor and the Provost or other Vice Chancellor, following review and recommendation by the Faculty Senate according to its Approval Procedure Guide (June, 1997).

Interim approval can be granted, temporarily, pending confirmation of funding, by the Chancellor and Provost, based on a written request by the proposers which includes all information necessary for Faculty Senate review. This Interim approval is conditional and temporary, and requires subsequent formal Faculty Senate recommendation and formal approval by the Provost, Chancellor and the University President.

Proposal Content (General)

A proposal to establish any center or institute may be initiated by one or more faculty members or by the University administration. All proposals should provide the information described below. If responses to the items in the Institutes and Centers Approval Form (Form T) do not do so, other parts of the proposal should clearly address the following points:

1. the purpose to be served and the needs to be met by the proposed entity;
2. the existence of an adequate concentration of talent;
3. the consistency with departmental college and or campus long range plans;
4. the proposed relationship with other academic units on the campus, including the use of faculty on released time.

Resource Implications

Such proposals should also address the potential resource needs of the proposed unit, including personnel, equipment, office and other space, telephones, library resources and use of the University Computing Center.

Approval Procedure

The formal approval process will begin with the submission of 50 copies of a detailed proposal (Form T) New Institutes & Centers Approval Form, to the Rules Committee of the Faculty Senate, with (Form S) New Institutes & Centers Signature Sheet, and a brief executive summary. The summary will be used in a 30-Day Letter. The proposal must then be reviewed at the following levels (See Form S):

1. By the Faculty governance structure, including appropriate Faculty Senate councils and or committees, culminating in the approval by the Faculty Senate. If the proposers have not named a department or college affiliation for the new unit, Faculty Senate councils or committees shall consult the relevant academic department(s) and obtain the approval thereof.
2. By the Provost
3. By the Chancellor
4. By the University President

If the proposal is approved, a copy of the signature sheet (Form S) and any conditions of formation will be forwarded to the originators of the proposal and all who signed it. If the proposal is not approved, a written statement will be sent by the Provost to the originators and the signers. In either case, all memoranda, the original proposal and the signature sheet will be placed in the permanent file for this proposed entity, held in the Provost's Office. If any institute or center is proposed to be housed on the Amherst campus by some outside agency, legal body, or office (persons other than faculty members or administrators on the University of Massachusetts at Amherst campus), the date and circumstances must be recorded in writing, along with an official submission to the Faculty Senate as described above, and records relating to it placed in the Provost's Office.

Appointments

Regardless of the source of funds, all tenure-track appointments affiliated with institutes, centers or similar organizations carry academic rank shall be reviewed and recommended by appropriate faculty peer groups (i.e., Departmental Faculty personnel and School or College Faculty personnel committees). In the case of other professional appointments, the appropriate school or college administrator and Department administrators shall be advised of the appointments.

Allocation of Space

The allocation of space for Institutes, Centers or similar organizations shall be treated in precisely the same way as other academic units.

**UNIVERSITY OF MASSACHUSETTS BOSTON
CAMPUS PROCEDURES FOR CENTERS AND INSTITUTES
(Doc. T96-096)**

Revised¹: September 22, 1994

I. PREAMBLE

The purpose of this policy is to define the activities of institutes and centers, to locate them in the administrative structure of the university, to provide for their regular review, and to specify the nature of appointments to institutes.

II. DEFINITIONS

Institute – An institute refers to a distinct and freestanding unit of substantial size, established to enhance the urban land grant university’s mission of teaching, research, and service. Institutes will normally be interdisciplinary and applied in nature, often with a substantial public service component. They may vary in emphasis, structure, and activities. Indeed, an essential point of institutes is flexibility—to utilize different combinations of research, service, and teaching resources to focus intensely on policy issues and problems in a defined area.

Center – A center is viewed as a subordinate unit within an existing department, college, or institute². A center should make a significant contribution to the major unit of which it is a part and have an adequate concentration of talent to carry out its mission.

III. SCOPE

A center or institute is an organizational unit that engages in teaching, research, or public service activities. Centers and institutes are, however, distinct from the traditional academic units, such as colleges or departments. Other units bearing the title center, such as the campus day-care center, are not governed by the requirements of this policy.

IV. POLICY ON INSTITUTES

Establishment of Institutes

Proposals to establish institutes will be submitted to the provost for review. Criteria for the establishment of new institutes will include the appropriateness to the mission and goals of the campus, and the adequacy of resources, including capital investment. Upon review of the proposal, the provost will seek the advice and recommendations of the Faculty Council.

¹ Titles of officers and administrators updated and format errors corrected May 7, 2004.

² Three units on the UMass Boston campus that are designated as centers actually function as institutes. They are the Center for Survey Research, the Center for Social Development and Education, and the Joiner Center. These units will retain their names, which have been used for many years and which have a wide recognition on and off campus. They will, however, continue to function as institutes according to the definition given in this policy.

However, the decision to recommend the establishment of an institute to the chancellor remains with the provost. The president of the university will be informed of the decision to establish a new institute.

Governance and Administration

Each institute director will report to the vice provost for research. If an institute has explicit functions beyond the area of academic affairs, dotted reporting lines to the appropriate vice chancellor may be established. As directors of independent freestanding entities, institute directors normally do not report to a college dean.

An Institutes and Centers Council, composed of the directors of all campus institutes and centers, will be established. The council's primary purposes will be to promote communication across institutes, to respond to campus policy and governance issues, and to encourage growth and development of the institutes and centers.

Activities

Institutes may promote, advance, solicit, and support research, often involving several disciplines or academic units. Institutes may also publish journals, reports, books, and related publications.

Institutes may support interdisciplinary or multidisciplinary instructional programs by providing instruction or resources to support or enhance degree granting or certificate programs. However, the authority to award degrees is vested in the colleges and the office of graduate studies.

Institutes may support service activities by engaging technical resources within and outside of the university to respond to issues external to the university. Such activities include community service, agency partnerships, technical assistance, outreach, and special events. Institutes may offer workshops, symposia, colloquia, mini-courses, and educational programs to the public as a pro bono service or on a fee basis.

Resources and Personnel

Institutes, as distinct budgetary units, may occupy their own identifiable space, may have professional and classified staff, and may engage faculty from academic departments. Hiring of professional and classified staff by institutes will be done in accordance with the affirmative action and hiring procedures followed by all university units. Institutes may retain consultants and engage contractors. However, only academic units may make official recommendations on faculty appointments.

Each institute will establish a faculty advisory committee that will meet regularly and be consulted on institute programs and plans. This committee will facilitate faculty interchanges between departments, as well as the use of professional staff with appropriate academic

credentials as adjunct faculty. These arrangements will be subject to the approval of the institute director in consultation with the faculty advisory committee.

Institutes may appoint fellows for specified lengths of time to participate in the service or research activities of the institute. The selection of unpaid fellows is at the discretion of the institute directors, but such appointments require the approval of the vice provost for research and the concurrence of the provost.

The institute director is responsible for the management of the institute budget.

Review of Institutes

Each institute will be subject to periodic review by a committee external to the institute, established by the vice provost for research in consultation with the director of the institute. Such review will occur at least once within a period of five years from the institute's formal establishment. The criteria for evaluation of an institute will reflect the mission and purpose of the institute as well as its success in making a substantive contribution to the mission of the campus. The president of the university will be informed of the outcome of such reviews.

Institute directors are normally appointed for a period of three years subject to review and renewal upon the recommendation of the vice provost for research to the provost. There will be an annual review of performance of the institute director by the vice provost for research.

Each institute director will submit an annual plan of activities at the beginning of each academic year and will provide quarterly reports on the progress made toward meeting the goals established in the annual plan. Each institute will also prepare a five-year plan for program development and funding (both state and non-state). Such a plan should articulate how an institute intends to acquire non-state funding to enhance its total resources within five years. These plans and reports will be submitted to the vice provost for research.

Termination of Institute

A recommendation to terminate an institute will be made by the vice provost for research to the provost. The procedure will follow the same steps as the establishment of an institute. The provost will seek the advice and recommendations of internal and external bodies, including the Faculty Council, but the decision to recommend to the chancellor the termination of an institute remains with the provost. The termination of an institute will be reported to the president of the university.

V. POLICY ON CENTERS

Establishment of Centers

As subordinate units, centers will be established through normal governance procedures of the parent unit. The criteria for approval of a new center will include the appropriateness to the

mission or goals of an existing department, college, or institute, and the adequacy of available resources. The proposal is approved when it receives the approval of the department chair and the appropriate academic dean or institute director. Establishment of new centers will be reported to the provost, the chancellor, and the president of the university.

Governance and Administration

The department chair and the dean or director of the unit that supervises the center retain full authority and responsibility for the oversight of the center's management and the expenditure of any funds associated with the center. All documents and publications, such as grant and contract proposals, brochures, and news releases, must clearly identify the center as being part of the parent unit.

Activities

A center may be established for the purpose of concentrating research, teaching, or service efforts within a clearly defined academic area.

Resources and Personnel

Any commitment of personnel, space, or other resources must have the prior approval of the appropriate chairperson or director.

Review of Centers

Each center will be subject to periodic review by a committee established by the appropriate academic dean in consultation with the department chair (or by the institute director if the center is within an institute). Such review will occur at least once within a period of five years from the center's formal establishment. The criteria for evaluation of a center will reflect the mission and purpose of the center as well as its success in making a substantive contribution to the mission of the parent unit. Reviews of centers will be reported to the provost, the chancellor, and the president of the university.

Termination of a Center

A decision to terminate a center is made by the dean or department chair of the unit in which the center is housed. The termination of a center will be reported to the provost, the chancellor, and the president.

**UNIVERSITY OF MASSACHUSETTS DARTMOUTH
CAMPUS PROCEDURES FOR CENTERS AND INSTITUTES
(Doc. T96-096)**

I. SCOPE OF THE POLICY AND DEFINITIONS

The University of Massachusetts Dartmouth Policy on Academic Institutes and Centers is established pursuant to the University of Massachusetts Trustee "Policy on Centers and Institutes" (T96-096, adopted on August 7, 1996). The Trustee policy states that:

"Each campus shall have policies and procedures governing the definition, establishment, review, administration and termination of Centers and Institutes. Every Center or Institute, whether free-standing units or sub-units of, schools, colleges, departments or other organizational units, and regardless of its source of funding, shall be included within the purview of campus policies."

University of Massachusetts Dartmouth Policy on Academic Institutes and Centers applies to all Institutes and Centers as defined below:

A Center or Institute is an organizational unit affiliated with the University of Massachusetts Dartmouth created to implement research or public service projects that cannot ordinarily be accommodated within existing departmental structures. A Center is ordinarily a subordinate unit within an existing department, school, college, or Institute; interdisciplinary centers, however, may report to the Provost. An Institute is a distinct and free-standing unit of substantial size. Institutes may engage in a wide variety of research, public service, and instructional activities, typically in are of broad concern. Institutes are frequently interdisciplinary an embrace ideas and personnel from various departments, colleges, and schools.

Entities called "centers" whose purpose is to provide service to the University community (including day care centers, learning centers, advising centers, and other such entities as may be so designated by the Chancellor) shall not be considered Centers or Institutes for the purposes of this policy.

II. ESTABLISHMENT OF NEW ACADEMIC INSTITUTES AND CENTERS

A. INITIAL PROPOSAL. The establishment of a new academic Institute or Center at the University of Massachusetts Dartmouth shall be initiated by members of the faculty with a written proposal submitted to the Chancellor. At a minimum, the proposal shall include:

1. a mission statement that shall define the goals and objectives of the Institute or Center,
2. an explanation of how the Institute or Center will advance the mission and goals of the campus and an explanation of why said mission and goals cannot be advanced through an existing department, Institute or Center,

3. a proposed annual budget which documents the anticipated sources of revenue and expenditures, including capital equipment operating expenses, and personnel cost, and documentation that such revenues are adequate to the proposed mission,
4. an estimate of office space required on campus for the new Institute's or Center's operation,
5. a proposed governance and administrative reporting structure for the Institute or Center, and
6. explicit recognition of the administrative reporting, annual reporting and five-year review processes described in Section III and IV below.

B. APPROVAL. The establishment of a new academic Institute or Center shall require the approval of the Chancellor and the President.

C. GOVERNING BOARD. For new academic Institute or Centers, the governing board shall be established as follows:

1. three members elected by the initiating faculty,
2. three members appointed by the Chancellor or their designee, and
3. three members jointly agreed upon by the initiating faculty and the Chancellor or his/her designee.

Following the expiration of the terms of the first governing board, members will be selected according to the process established in the approved governance and administrative structure.

III. REGULATIONS AND REPORTING PROCEDURES

The following reporting procedures apply to all academic Institutes and Centers, both currently existing or to be created in the future.

A. MISSION STATEMENT. All academic Institutes and Centers shall have a written mission statement that defines its goals and objectives and that is consistent with the mission of the University of Massachusetts Dartmouth.

B. DIRECTOR. All academic Institutes or Centers shall be headed and administered by a Director. For purposes of administering the Institute or Center, the Director shall report to an appropriate Chairperson, Dean, the Provost, or, in special circumstances, the Chancellor, as approved by the Chancellor.

C. ANNAL REPORT. By July 31 of each year, the Director of each Institute or Center shall prepare an annual report for the fiscal year just completed (June 30). The annual report shall include the following information:

1. a statement of how the Institute or Center has accomplished its goals and mission, including a brief description of all completed and continuing projects,
2. a fiscal year financial report that identifies: the amount of total revenue received using the Integrated Postsecondary Education Data System (IPEDS) sources of revenue categories,

3. a fiscal year financial report that identifies total expenditures using the letter level categories of the University's Financial Reporting System (FRS),
4. the names of all employees and consultants affiliated with the Institute or Center during the fiscal year,
5. a list of all physical space occupied and used by the Institute or Center, and
6. a statement of goals and a projected budget for the next year.

D. DISTRIBUTION OF THE ANNUAL REPORT. The Director of each Institute or Center will submit the annual report to:

1. the Director's immediate supervisor,
2. the unit's governing board,
3. the University Budget Review Board, and
4. the University of Massachusetts Dartmouth Library for its collection.

E. REVIEW OF THE ANNUAL REPORT. If any of the persons to whom the Director reports recommend termination of the Center or Institute, based on annual reports, then the procedure for a five-year review, as described in Section V, will be initiated immediately. The individual recommending termination shall notify the Chancellor, the Director, and the Governing Board of the Institute or Center of their recommendation for termination in writing, including specific reasons for the recommended termination. The failure to submit an annual report shall be considered evidence that the Institute or Center has not engaged in any research or public service projects during the previous fiscal year and shall automatically trigger the five-year review process.

IV. EVALUATION OF CENTER EMPLOYEES AND AFFILIATES

A. EVALUATION OF THE DIRECTOR. Directors of Institute and Centers who are members of the University of Massachusetts Faculty Federation collective bargaining unit shall be evaluated under the terms, criteria, and categories of the Agreement between the University of Massachusetts Board of Trustees and the University of Massachusetts Faculty Federation, American Federation of Teachers, Local 1895. The Director's immediate supervisor, as well as members of the Institute's or Center's governing board shall submit letters of evaluation to the Director's Department Faculty Evaluation Committee, to be included as part of the annual evaluation dossier. A copy of the Director's annual evaluation shall be forwarded to the Director's immediate supervisor.

B. EVALUATION OF BARGAINING UNIT EMPLOYEES. Employees or affiliates of an Institute or Center will be evaluated under the terms, criteria, and categories of the appropriate collective bargaining agreement. For all faculty, librarians, or technicians employed or affiliated with an Institute or Center, the Director will submit an annual letter of evaluation to the individual's Department: Faculty Evaluation Committee, but such letter shall be limited to a review of the individual's direct participation in the Institute's or Center's activities. For each Research Associate and Technical Associate employed by an Institute or Center, the Director

will prepare a written annual evaluation of the individual's performance in accordance with the performance and evaluation criteria in the individual's employment contract.

C. EVALUATION OF NON-BARGAINING UNIT EMPLOYEES. By May 31 of each year, the Director shall evaluate all non-bargaining unit, non-student, employees according to criteria development by the Institute or Center.

V. FIVE YEAR REVIEW OF ACADEMIC INSTITUTES AND CENTERS

Each Institute and Center shall undergo a comprehensive performance review every five years. Institutes and Centers are expected to make a significant contribution to the mission of the University of Massachusetts Dartmouth.

A. FIVE-YEAR REVIEW TEAM. An Institute's or Center's five-year review shall be conducted by a 5-member review team consisting of:

1. the Director's immediate supervisor,
2. a member of the University of Massachusetts Dartmouth faculty appointed by the Institute or Center Director,
3. two members of the full-time tenured faculty selected at random by "Greek ballot" at a regular meeting of the Faculty Senate, and
4. a University administrator appointed by the Chancellor or his/her designee.

B. PURPOSE OF THE REVIEW. The review team shall prepare a written report that evaluates the extent to which the Institute or Center has fulfilled its mission over the previous five years, including its ability to complete research and public service projects successfully, its ability to involve faculty and students in its research and public service projects, and its ability to generate external funding appropriate to its goals. In conducting the review, the review team shall inspect the Institute's or Center's work space, review its records and annual reports, interview members of the governing board, interview employees and affiliates, and solicit external input from client agencies who have worked with the Institute or Center during the last five years. The review team may recommend continuance of the Institute or Center for another five years, its modification and restructuring, or its termination.

C. DISTRIBUTION OF REVIEWS. The written report of the five-year review team shall be distributed to individuals in the following order:

1. the Institute's or Center's Director and Governing Board, each of whom may submit additional written comments on the review,
2. the Director's immediate supervisor (e.g., Chair, Dean, Provost or Chancellor), and
3. the Provost, who will consider the review, its recommendations, and any appended comments, and forward his/her written recommendation to the Institute's or Center's Director and to the Chancellor.

The Provost will forward copies of the review, and all additional written comments and recommendations, to the President of the Faculty Federation and the President of the Faculty Senate for information purposes only.

D. CONCLUSION OF THE REVIEW. The Institute's or Center's Director and Governing Board shall have twenty days to respond to the five-year review and to the written comments and recommendations of the Provost by submitting a written response to the Chancellor. After this twenty-day period the Chancellor shall make a final recommendation concerning the Institute or Center. Based upon the five-year review, and additional materials submitted to him by the Director, Governing Board, and Provost, the Chancellor may: (1) recommend to the President the continuance of the Institute or Center for another five years; (2) recommend modification and restructuring of the Institute or Center; or (3) terminate the Institute or Center without further review or appeal.

VI BONA FIE INSTITUTES AND CENTERS

By September 30 of each year, the Provost shall provide a list of the academic Institutes and Centers authorized and operating under the terms of this policy. The 30 September list shall also include the name of the Director of each academic Institute and Center and the name and position of the Director's immediate administrative supervisor. The 30 September list shall also identify which Institute or Center are scheduled for a five-year review during the current academic year. This list will be sent to the President of the Faculty Federation and the President of the Faculty Senate.

As agreed to by P.H. Cressy, B.F Taggie, C.W. Barrow, and R. DiPippo: November 30, 1998