

Policy and Procedures for Planning, Establishing, and Reviewing Institutional Centers and Institutes

1.0 Introduction:

Guidance for planning, establishing, reviewing, and discontinuing centers and institutes in the University of North Carolina system is promulgated in UNC Policy 400.5[R], as amended. The following procedures are intended to supplement UNC guidance and provide guidance for institutional centers and institutes at Winston-Salem State University. Nothing contained herein should be interpreted in any way that conflicts with UNC policy. Institutional centers and institutes are approved by the WSSU Board of Trustees (BOT) upon recommendation of the Chancellor according to the policies and procedures in this document.

2.0 Definitions:

2.1 WSSU Centers and Institutes: Centers are typically established at WSSU to strengthen and enrich interdisciplinary programs of research, public service, or instruction. They may also provide undergraduate or graduate students with added research opportunities, as well as enhance their involvement in public service and educational activities. Centers may also have a positive impact on the economic development of the region and state by providing job opportunities, technical assistance, and training; fostering community development; and enhancing the transfer of new technology. Consequently, centers and institutes are important means of fulfilling the mission of WSSU.

2.2 *Institutional and Inter-institutional Centers/Institutes:*

2.2.1 Centers and institutes may be either institutional or inter-institutional in nature and may be designated as research, public service, or instructional units. Inter-institutional centers and institutes are defined as involving the participation of more than one campus within the UNC system and require the approval of the UNC Board of Governors upon recommendation of the President. Chapter 400.5[R] of the Policy Manual of the University of North Carolina governs UNC inter-institutional centers and institutes. The coordination process for obtaining WSSU BOT approval and recommendation to the Office of the President and BOG approval is outlined herein. Required information in the documentation for inter-institutional centers/institutes is outlined in Chapter 400.5[R] of the Policy Manual.

2.2.2 Oversight of institutional centers/institutes, those involving only one campus within the UNC system, has been delegated to the Board of Trustees of the affected campus. Institutional centers/institutes may collaborate with units or departments from other institutions for specific activities/projects, but fiscal and administrative oversight is limited to a single institution.

2.3 Types of Centers and Institutes:

2.3.1 Research: A research center or institute has research as its primary mission. Although classified as a research center or institute, such units may also provide instruction, training, technical assistance, or public service programs. Such units do not have jurisdiction over academic curricula.

2.3.2 Instructional: An instructional center or institute has training or instruction as its primary mission. These units may also conduct research and public service. Such units do not have jurisdiction over academic curricula.

2.3.3 Public Service: A public service center or institute has public service or technical assistance as its primary mission. Research, instruction, and training activities may also be conducted as secondary components of the mission. Such units do not have jurisdiction over academic curricula.

2.3.4 Membership Centers or Institutes: A center or institute may also be defined as a membership center or institute. These units receive a substantial portion of their funding from membership fees paid by corporate or other private or governmental entities to pursue research, public service, or instructional activities of mutual benefit. A full or part-time faculty member may have a joint or adjunct appointment with a center or institute in accordance with WSSU policy on joint appointment and release time. Such units do not have jurisdiction over academic curricula.

2.4 Centers and Institutes: There is no technical distinction between the terms *center* and *institute*. Both typically offer interdisciplinary programs that involve faculty, students, and staff from various academic departments or other units. A center or institute's activities often involve the general public or public agencies. In practice, an institute frequently refers to an activity with a broader scope than a center. For example, an institute may create centers as separate units within its administrative structure. The processes and policies governing WSSU institutional centers and institutes are identical; therefore, the term *center* will be used to mean center or institute in subsequent paragraphs of this document.

3.0 WSSU Centers:

3.1 Establishment of an Institutional Center: Requests to plan, establish, or discontinue an institutional center may be initiated by any Dean, Director, or Assistant/Associate Provost-level member of the Academic Affairs Division. Authorization to establish or discontinue an institutional center requires approval by the Provost, Chancellor, and Board of Trustees. Appropriate forms which outline and guide the process are included in the appendix.

3.1.1 Request for Permission to Plan: Permission to plan a WSSU institutional center may be requested by submitting a letter to the Provost /Vice Chancellor for Academic Affairs. The letter must include detailed information about the center including whether it is institutional or inter-institutional; its mission, the academic

disciplines involved, reporting structure; and potential for external funding. The letter must be signed by the proponent of the center—the appropriate Dean, Director, or Associate Provost with whom the center has primary affiliation; and by any other units, departments, or faculty who will have substantial roles or interaction with the center. Upon approval by the Office of the Provost, the plan should be briefed to the Provost’s Council. The request for permission to plan letter should also include the following specific information:

- Name and category of proposed center (research, public service, or instructional)
- Participating academic units and the number of faculty involved from each unit
- Organizational and reporting structure
- Short description of proposed activities
- Five-year goals within some or all of the following performance factors:
 - Research/scholarship
 - External professional recognition
 - External outreach/service
 - Involvement of faculty and visiting scholars
 - Student support and involvement
- Required resources and sources of support (funding, facilities, personnel).

3.1.2 Request to Establish a Center: Within two years of receipt of a Request for Permission to Plan a center, a Request to Establish an Institutional Center or Institute and all appropriate attachments should be submitted to the Office of the Provost. The information required and format suggested for the Request to Establish is contained in Appendix 2. Upon approval by the Board of Trustees, based upon recommendation by the Chancellor, establishment activities for the proposed center may proceed. Authorization to establish is valid for a period of two years.

3.1.3 Differentiation between Authorization to Submit a Center-scale Proposal to a Sponsor and Request to Establish a Center: The Office of Sponsored Programs and Research (OSPR) process for submitting a center-scale proposal to a sponsor (i.e., the internal approval signatures obtained on the Internal Proposal Processing Form) cannot substitute for the Request to Establish a Center process outlined in this document. Normally, center-scale proposals should undergo both the institutional Request for Permission to Plan and Request to Establish a Center procedures described herein prior to submission to a sponsor. If the authorization has not been obtained prior to the proposal deadline, then the Request to Establish an Institutional Center or Institute and all appropriate attachments must be submitted to the Office of the Provost within five (5) business days after the proposal has been officially transmitted to the sponsor.

3.2 Center Governance: A center’s governance should include a Chief Administrator, Director, and an Advisory Board. The Provost serves as the Chief Administrator. The Director provides direct management of the center. The Advisory Board provides advice to the Provost and the Director. The Advisory Board is typically composed of 8-12 members and includes a cross-section of qualified faculty/administrators and professionals external to the University. The Board should meet at least twice per year with minutes made available for review by the Provost and Director. Generally, the Board should consist of a Chair, and include representatives from any partnering institution(s) and appropriate business officials that will assist the Director with decisions pertaining to allocation of funds, identification and selection of key

personnel, and planning and execution of the center activities

3.3 Review Process for Centers: All WSSU institutional centers and institutes are reviewed at five-year intervals. Centers are required to submit progress reports annually. The report should include information concerning the results of research/scholarly/service projects to date, including the status of on-going projects, plans for the next year, and any modification in long-term plans and projects. Also required are reports of inventions, expenditures, financial status, and other items that may be relevant to the work of the center. Each center will be evaluated in relation to its mission, productivity, viability, management effectiveness, and potential for future activities. A schedule of review for all institutional centers is maintained by the Office of the Provost. Each center will be notified of the review requirement approximately six months prior to the review. A Review Report with the information required and format suggested in the appendix (Review of Center/Institute) must be submitted to the Office of the Provost. Following submission of the report, the information will be reviewed by the Provost who will forward it and an assessment with recommendations for future activities by the center to the Chancellor. Results of the review will be sent to each center or institute after the evaluation process has concluded. Inter-institutional centers and institutes, those involving multiple UNC institutions, are reviewed by the Office of the President. Procedures for review of inter-institutional centers are contained in UNC Policy 400.5[R].

3.4 Request to Discontinue a Center: If a decision is made that a center should be discontinued for any reason, an Authorization to Discontinue Request must be submitted. The request may be initiated by the individual who has primary responsibility for the center, or at the direction of the Provost or Chancellor. The information required to request discontinuation of a center is in the Appendix 3. The request should be submitted to the Office of the Provost. Approval to discontinue must be obtained by the Board of Trustees upon recommendation of the Chancellor. A center that is approved for discontinuation should complete its phase-out within one calendar year after approval to discontinue operations.

3.5 Center Inactivation: A center that has no activity for a period of 12 months will be deemed to be inactive. The web site of the center will be changed to indicate that the center is inactive. After a period of two years of inactivity, the center / institute will have a mandatory review to determine the continued operation of the center.

3.6 Funding: No single funding model will fit all centers. Funds may be derived from state appropriations, institutional funds, external funds, or a combination of sources. In most cases, unless organized specifically in response to legislation and appropriate approval by the North Carolina General Assembly to focus on a specific state need, each center is expected to demonstrate a strong foundation or potential for external support to justify its establishment and support its continuing operation.

Request to Establish a WSSU Institutional Center or Institute

Within two years of receipt of permission to plan, the proposed center/institute must submit a request to establish to the Office of the Provost and Vice Chancellor for Academic Affairs as indicated below:

Contact Information:

Name:

Title:

Campus Address:

Campus Telephone:

FAX number:

E-Mail Address:

Other contact names and email addresses:

I. General Information

Proposed Name of Center/Institute:

Date Permission to Plan Granted (attach copy of approval letter):

Organizational Structure

- Center
- Institute

Proposed Status

- Institutional (WSSU campus only). Complete this form.
- Inter-Institutional (Involves more than one UNC system. If you checked "Inter-Institutional," you must follow procedures outlined in Chapter 400.5[R] of the UNC Policy Manual).

Type of Center/ Institute

- Research
- Public Service
- Instructional
- Membership [will receive substantial portion of funding from membership fees paid by corporate or other private/governmental entity]

Please attach responses to the following. Do not exceed 15 pages.

- II. State the proposed mission of the center or institute.
- III. Explain how the proposed name of the center or institute accurately reflects the scope of the mission of the center or institute.
- IV. Describe the relevance of the mission of the proposed Center/ Institute to the WSSU mission, including any impact upon the existing academic departments, schools, centers, and institutes.
- V. Provide a vision statement for the proposed center/ institute.
- VI. Provide a five-year list of the specific goals of the proposed center/institute.
- VII. Describe how productivity will be evaluated.
- VIII. If relationships with the external community are a part of the vision of the proposed Center/Institute, describe how this will occur and how its effectiveness will be measured. Provide information about the proposed director.
- IX. Describe any proposed advisory boards.
- X. Attach the proposed center/institute's organizational chart. Clearly explain, on the chart or in written form, the relationship of the center or institute to any academic units.
- XI. Supply budget estimates for the first year of operation, projections for the following four years, and anticipated sources of funding. Justify items included on the budget.
- XII. Explain immediate space needs and project space needs for the next five years, how the needs will be met, and approvals obtained. Note that requirements for additional space or a change in space utilization must be approved by the WSSU Facilities Utilization Committee.
- XIII. Describe how a website will be maintained.

Submitted by:

Title:

Signature:

Date:

APPROVALS:

Dean:

Date:

Provost and Vice Chancellor
for Academic Affairs

Date:

Chancellor

Date:

Chair, WSSU Board of Trustees

Date:

Review of WSSU Institutional Centers and Institutes
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Submit to the Office of the Provost and Vice Chancellor for Academic Affairs.

Center/Institute Name:

Title:

Signature:

Date:

Please attach responses to the following. Do not exceed 15 pages.

I. Information and Contacts:

Center or Institute Name:

Year Established (mm/dd/yyyy):

Website Address (url):

Primary Designation (research, public service, instructional, membership):

Date Report Submitted:

Director:

Name and Title:

Campus Address:

Telephone and Fax:

E-Mail Address:

Individual with whom the center/institute has primary affiliation (an academic Dean, an Associate Provost, or the Provost/ Vice Chancellor for Academic Affairs):

Name and Title:

Campus Address:

Telephone and Fax:

E-Mail Address:

II. Provide Mission Statement of the Center/Institute.

III. Explain how the work of the center/ institute remains relevant to the mission of WSSU.

IV. Provide a five-year list of the specific goals of the proposed center/ institute that was given in the Plan to Establish. Describe how the goals have been met or an explanation about how they were modified and the new goals met

V. (a) List the departments and faculty at WSSU with which the proposed center/ interacts.

(b) Provide information about the effectiveness of these interactions.

VI. (a) List the outside agencies or populations with which this center/institute interacts.

(b) Provide information about the effectiveness of these interactions. Public service centers or institutes should include both quantitative and qualitative data including outcomes information where possible.

VII. Role of the Center/Institute within WSSU and in the Triad Community

Describe the role of the Center/Institute within WSSU and in the local community.

Include the following:

(a) WSSU Populations served by the Center/Institute

(b) Community populations served by the Center/Institute

(c) Geographic region served by the Center/Institute

(d) Similar activity, if applicable, unit within WSSU

(e) The role of WSSU students in the center/institute, including the types of experiences and skills gained by those students.

VII. Anticipated Changes

Describe major changes anticipated during the next five years. Include the following:

(a) Size (changes in number of personnel, space)

(b) Budget (include internal versus external support)

(c) Administrative structure and governance

(d) Mission and goals

IX. Measures of Performance

Provide the following information for each fiscal year included in this review period.

(a) Personnel

Number of faculty and staff, indicating percent of time associated with center/institute:

EPA positions:

SPA positions:

Number of students:

Doctoral:

Masters:

Undergraduate:

(b) Funds (actually received during each fiscal year included in this review period)

Direct State appropriations: \$

Total external support from grants and contracts: \$

All other University support (overhead receipts, cost sharing, patent and licensing revenue, University allocations): \$

Gifts to the Center/Institute: \$

Total of all sources of support: \$

(c) Contracts and Grants Awarded to Center/Institute:

Number of Awards:

Federal-Corporate-State:

Other:

Total Awards:

Dollar amount of awards:

Federal \$

Corporate \$

State \$

Other \$

Total awards \$

(d) Expenditures

Total expenditures: \$

(f) Publications and/or Presentations (attach list detailing authors, title, date, and venue) books, journal articles, proceedings, papers, or reports, presentations, etc.

Total number of presentations:

(g). Membership Centers Only

Number of members:

Total amount of membership fees collected annually in each fiscal year included in this review:

(h) Describe the center or institute's community outreach and service:

(i) Other evidence of the productivity of the center or institute:

Request to Discontinue a WSSU Institutional Center or Institute

This form must be submitted and approved prior to closing an institutional center or institute.
 This form may not be used to discontinue an inter-institutional center or institute.

Contact Information:

Name:

Title:

Campus Address:

Campus Telephone:

Fax Number:

E-Mail Address:

I. General Information

Name of Center/ Institute:

Organizational Structure

- Center
- Institute

Proposed Status

- Institutional (WSSU campus only) Complete this form.
- Inter-Institutional (Involves more than one UNC system campus. If you checked "Inter-interstitutional," there is a different procedure.)

Type of Center/ Institute:

- Research
- Public Service
- Instructional
- Membership

Please attach responses to the following. Do not exceed 5 pages.

- II. Explain in detail the reasons for the request to discontinue this center or institute. Include such considerations as loss of funding, loss of key faculty or other administrators, change in mission or goals, and/ or replacement by a new center/institute, etc.
- III. Explain how an orderly termination or transfer of contractual obligations will be handled during the “phase-out” period.
- IV. Explain efforts that will be made to find alternative employment for full time staff affected by the discontinuation.
- V. Indicate the proposed effective termination date.
- VI. Provide any additional information necessary to support the request to discontinue.

Submitted by:

Title:

Signature:

Date:

Approvals:	
Dean:	Date:
Provost and Vice Chancellor for: Academic Affairs	Date:
Chancellor:	Date:

Chair, WSSU Board of Trustees:

Date: