

POLICY GA-UA-PO6 Guidelines for the Establishment and Administration of Centers and Institutes

Contents

- I. Title
 - II. Policy
 - III. Definitions
 - IV. Relevant Federal and State Statutes
 - V. Relevant UT System Policies, Procedures and Forms
 - VI. Who Should Know
 - VII. UT Arlington Office(s) Responsible for Policy
 - VIII. Dates Approved or Amended
 - IX. Contact Information
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I. Guidelines for the Establishment and Administration of Centers and Institutes

II. Policy

A. Purpose of Centers and Institutes

A center or institute may be established when the best interests of the University will be served by providing a vehicle for the general enhancement of a specific program or programs. The operation of a center or institute must be well integrated into the academic objectives of a department(s) or college(s) or school(s) and enhance the instruction, service, or research programs of the University.

B. Procedures for Creation of Centers or Institutes

A proposal for establishing a center or institute may originate within a department, college or school, or within a combination thereof.

A Center or Institute proposal must include:

- 1. Proposed name and acronym;
 - a. Proposers are expected to ensure that no other existing University organizations already use a similar name, abbreviation, or acronym and to identify any prominent center or institutes with a similar name at other universities.

- b. Any name reflecting that of an individual or external entity must comply with Regents' Rules and Regulations, Rule 80307 "Naming Policy".
2. Director(s) Name and a statement on qualifications;
3. Purpose and benefit to the University;
4. Administrative organization (faculty members, advisory boards, governance and other participants);
5. Research, instruction, services, or other activity plans;
6. Significance to undergraduate and graduate education (if relevant);
7. External service functions;
8. Space utilized or requirements; and
9. Financial support by source(s) of funds and plan of sustainability (e.g. services, external funding, gifts, etc.) including any special budget requests (e.g. "return of indirect costs", utilization of personnel in-kind).

Such a proposal must be submitted through the appropriate academic dean, or deans for approval or disapproval to the Provost or the Vice President for Research if designated as a Research Center or Research Institute. The Provost or Vice President for Research will provide their recommendation to the President.

Approval by the President is a prerequisite to the establishment of a Center or Institute. Upon approval, a statement will be provided by the Provost or VPR as applicable, to all appropriate persons delineating specific details of the administrative structure, goals, and mode of operation of the center or institute.

C. Funding of Centers or Institutes

Funding sources to establish and sustain the Center or Institute must be clearly identified. Any special budget requests for funding must be preapproved in the proposal by the person with authority over the funding.

Except as is consistent with college and/or University policy, there shall be no reduction in teaching loads for Center or Institute personnel from appropriated University funds. Reduction in teaching loads may be made

consistent with salary support with funds from outside sources or as is normal and customary for the department or college.

Department chairs and deans should give careful attention to the ramifications of tenure-track appointments supported by outside funds.

Existence of a Center or Institute will not, in and of itself, be justification for additional space, funding, or personnel from regular University funds.

Grant applications must be presented through regular administrative channels of the faculty member's home academic department even if the application is affiliated with or submitted on behalf of a Center or Institute.

D. Administration of Centers or Institutes

The chain of reporting will be established at the time a Center or Institute is approved. If entirely within one department and one college, the chain shall be the normal one through the department chair and dean.

Interdepartmental Centers or Institutes within a college shall report through the dean and through one or more departmental chairs and dean.

If a Center or Institute encompasses an element of more than one college/school, the reporting chain shall be through one or more deans as agreed upon at the time of the establishment.

Centers or Institutes that are headed by non-faculty, serve a unique program purpose, or that are primarily a service function to external parties may be formed and designated by a vice president or the Provost. Such Centers or Institutes will report to the appropriate vice president or the Provost or their designee as determined and agreed to in the approval process.

Research institutes generally report to the Vice President for Research. Any significant modification of the structure or operation of a center must have the same administrative approval as originally required for the creation of the center.

E. Reporting Expectations

The directors of all centers or institutes, including those established prior to this policy, must complete periodic evaluations and submit at least annually, a report to their reporting supervisor. The annual report contents will describe:

1. Accomplishments, awards, progress to stated proposal goals or other benefits to the University;
2. Events, conferences, and educational activities;
3. Financial status – including expenditures and external support; and
4. Current and pending grant support obtained.

Centers and Institutes will be subject to a comprehensive performance review at the end of their third year of when established. Every 5 years thereafter directors will submit a detailed written report developed in coordination with their immediate supervisors to the Provost or Vice President for Research if a research center or institute. These reports will be used to determine if the Center/Institute and the director are meeting the performance goals established in their original proposal. The performance review may also result in revisions to stated goals, changes in directorship/governance, or a probationary period for improvement if agreed to by the dean and the Provost or Vice President for Research.

The Council of Academic Deans may also choose to periodically review the performance of a Center or Institute to advise the Provost or Vice President for Research.

F. Termination of Centers

The Provost or Vice President for Research may recommend to the President a change in governance, modification, or termination of a Center or Institute if it is not meeting its performance goals, typically after a probationary period expires. Recommendations to the President will be based on regular or probationary reviews and the goals and purpose described in the original proposal or as amended in previous reviews.

A Center or Institute director may self-terminate the Center or Institute at any time with notice and approval within its reporting chain.

A committee appointed by the Provost or Vice President for Research shall review any recommendation for the termination of a Center or Institute and provide its advice to the President. The committee shall consist of at least four additional members from the administration, faculty, and/or staff of the college or colleges associated with the Center or Institute.

The final decision concerning a termination or change in a governance action is the prerogative of the President.

III. Definitions

Institutes: Contain multiple faculty focused on interdisciplinary theme(s), are usually across departments and college boundaries, and may have multiple centers or laboratories embedded within. Institutes will typically have broad public service activities. Institutes generally report to a vice president or dean.

Centers: Contain multiple faculty or staff focused on a common theme or a specific service or program function. Centers report to a department chair (if applicable) or to the dean(s) of participating colleges/schools or a program director designated by university administration.

Research Centers or Research Institutes: Are Centers or Institutes designated to support and facilitate research, enhance the ability of its members to compete successfully for extramural funding, and bolster and sustain research facilities, instrumentation, or unique research capabilities in order to carry out a strategic focus of the University. Research Centers and Research Institutes include the Vice President for Research as part of their performance review, although they may report to a department chair or dean.

Laboratories or Groups: Are self-described lab capabilities of a single faculty member or a collective expertise among a group of faculty members. These self-designated capabilities and expertise do not constitute a center or institute; however, they may develop into an eventual request to be formally recognized as a center under this guidance. Any public naming of a laboratory or group requires approval from the department chair.

IV. Relevant Federal and State Statutes

N/A

V. Relevant UT System Policies, Procedures and Forms

UT System Regents' Rules and Regulations, [Rule 80307](#), Naming Policy

VI. Who Should Know

Administrative officers and faculty of all UTA college and schools.

VII. UT Arlington Office(s) Responsible for Policy

Provost and Vice President for Academic Affairs

VIII. Dates Approved or Amended

August 19, 2020

IX. Contact Information

All questions and comments regarding this policy should be forwarded to the Office of the Provost and Vice President for Academic Affairs.

Send notifications of errors or changes to: policysite@uta.edu