

University of Northern Colorado Center Policy and Procedures

Purpose

Centers have proven to be effective means of organizing complex academic activities, particularly interdisciplinary research and outreach. Centers allow faculty and their associates from varied backgrounds and expertise to come together to solve common problems that could not otherwise be addressed. It is the desire of the university that these cooperative and innovative activities succeed and grow.

These policies and procedures are designed to enhance and ensure the future success of Centers at the University of Northern Colorado.

A Center is defined by a group of faculty, staff and students who declare a shared technical interest and pursue shared research and outreach that involves common activities; these may include cooperative research and scholarship, shared resources, operations, facilities and personnel, and require appropriate oversight, reporting and review.

The term "Center" may include such synonyms as "institute," "laboratory," or "group. Centers are further categorized as "University Centers," "College Centers," "School Centers or Program Centers," to distinguish them from other non-academic Centers. University of Northern Colorado Centers, duly constituted according to the policies contained in this document are part of the structure of the university, i.e., they are approved organizational units of the university.

The intent of Centers, as approved organizational units of the university, is to help the faculty, staff, and students succeed in their pursuit of excellence and achievement in research, scholarship or creative works, and outreach. In the interest of that goal, recognition, registration and review of Centers confirm a general commitment by the university and its units to the success of the Center. The nature and level of that commitment and the nature of the clients of the Center determine its classification. Academic or Administrative units of the university that provide support for the Center become Stakeholders in the Center, and become a party to the operation and conduct of the Center.

Definitions

A UNIVERSITY CENTER is a group of faculty and their associates, formally recognized by the university, joined together to pursue research/scholarship, instruction, and/or outreach goals that require the substantial input of two or more disciplines not contained within a single college. As a defining element, University Centers are typically funded by appropriations, grants or contracts, for which administrative and fiscal control is assigned to the Provost's or Assistant Vice President for Research's office, rather than to a College or School. The Director of each University Center, for matters related to Center operations, shall report to the Assistant Vice President for Research. The Center shall be governed by a Stakeholders Committee which will include the Assistant Vice President for Research, Academic Deans of the Colleges involved, the Directors of involved Schools, and the Director of the Center, as an ex-officio member. Designees shall be permitted. The Chair of the Stakeholders Committee shall be elected by members of that Committee or appointed by mutual agreement except

that the Chair shall not be the Administrator to whom the Center Director reports. A University Center shall have advisory boards as determined by the Stakeholders Committee.

A COLLEGE CENTER is a group of faculty and their associates, formally recognized by the university, joined together to pursue research, instruction, and/or outreach goals that require the substantial input of two or more disciplines contained within a single college. As a defining element, College Centers are typically funded by appropriations, grants or contracts. A College Center's administrative and fiscal control is assigned to a Center Directors and oversight is provided by the Dean's office. The Director of a College Center, who would normally be a member of an involved academic program, for matters related to Center operations, shall report to the College Dean who is in charge of the funds of the Center. The Center shall be governed by a Stakeholders Committee that will include the Academic Dean(s) of the Colleges involved, the Directors of involved Schools, and the Director, as an ex-officio member. Designees shall be permitted. The Chair of the Stakeholders Committee shall be elected by members of that Committee or appointed by mutual agreement except that the Chair shall not be the Administrator to whom the Center Director reports. A College Center may have advisory boards, committees, and review boards as determined by the Stakeholders Committee.

A SCHOOL CENTER is a group of faculty and their associates, formally recognized by the university, joined together to pursue research, instruction, and/or outreach goals that require the substantial input of two or more disciplines contained within a single school. As a defining element, School Centers are typically funded by appropriations, grants or contracts. A School Center's administrative and fiscal control is assigned to the School Director. The Director of a School Center, who would normally be a member of an involved academic program, for matters related to Center operations, shall report to the School Director who is in charge of the funds of the Center. The Center shall be governed by a Stakeholders Committee that will include the Academic Dean of the College, the Director of the School, and the School Director, as an ex-officio member. Designees shall be permitted. The Chair of the Stakeholders Committee shall be elected by members of that Committee or appointed by mutual agreement except that the Chair shall not be the Administrator to whom the Center Director reports. A College Center may have advisory boards, committees, and review boards as determined by the Stakeholders Committee.

A PROGRAM CENTER is a group of faculty and their associates formally recognized by the university, joined together to pursue research, instruction, and/or outreach goals that require the competence and capabilities of more than one faculty member, but primarily within the province of a single discipline. The grants or contracts of the member faculty principally fund a Program Center. The Director of a Program Center is always a member of an involved academic school. The Director of each Program Center shall report to the School Director. A Stakeholders Committee which shall consist of the School Director involved, the Center Director, and additional members as appropriate. The Chair of the Stakeholders Committee shall be elected by members of that Committee or appointed by mutual agreement. A Program Center may have advisory boards, committees, and review boards as determined by the Stakeholders Committee.

An ADVISORY COMMITTEE is a group of representatives from units and organizations that are served by the Center or experts in the technical affairs of the Center who provide guidance for all programmatic affairs of the Center. This Committee typically consists of clients, industrial representatives, faculty and agents of organizations concerned with the technical direction and development of the Center.

A STAKEHOLDERS COMMITTEE is a group of representatives from each academic or administrative unit of the university that is providing substantial fiscal or material support for the Center. Members typically will include school directors, deans, university administrators, and representatives of other university organizations that provide sustaining support to the Center, as defined above. The Stakeholders Committee shall have oversight of all financial, administrative, and fiduciary affairs of the Center.

Policy

The university encourages the formation of University, College, School or Program Centers for the purpose of enhancing the achievement of its instruction, research, scholarship and creative works, and outreach missions. This document sets forth the rules by which Centers must be organized and operated. These policies and procedures are applicable to all existing Centers and to Centers to be established in the future. All matters relating to research, scholarship and creative works, instruction and outreach at UNC fall under the jurisdiction of the Provost as Chief Academic Officer of the university. The organization and operation of Centers, in accordance with university policies and procedures, are the purview of the Assistant Vice President for Research as the Provost's designee.

Procedures

Establishing a Center

Inasmuch as a new Center within the university creates additional demands for resources, oversight, reporting and review, and represents a major commitment of duties for at least one faculty member, there shall be compelling reasons to establish a Center. In general, there are two basic criteria for the establishment of a new University, College, School, or Program Center:

1. A *de facto* Center exists. Faculty members are working together on research/scholarship, instruction, and/or outreach problems requiring collaboration within or across disciplines. Typically, they may be serving on each other's graduate student committees; regular research, instruction, or outreach meetings and seminars involving the group take place; joint research, instruction, or outreach proposals and joint publications are in evidence.
2. A significant funding or research/scholarship opportunity or opportunities exist. The available or anticipated opportunity requires a "Center" or umbrella structure in order to submit a proposal or to be competitive for an award.

Interim approval of Center status may be given in order to expedite the response to a funding opportunity or to provide a mechanism for a group to organize. Interim approval will usually be limited to one calendar year.

Authorization

Centers that are currently in operation at UNC as of October 31, 2006 must provide the following information to the Assistant Vice President for Research in order to establish a Charter that will formally recognize the Center as a UNC.

1. A definition of the mission of the proposed Center.
2. Vision and objectives of the Center. The objectives should include the research and scholarly expectations of the Center and the Director for three years.

3. The general nature of the faculty, staff, and student groups that directly or indirectly is involved in the Center, and the clientele served by the Center.
4. The governance of the current Center. The Center must identify the members of the external advisory or stakeholder committee. In the case of Centers that have external advisory committees, identify how the members were selected and by whom, the length of the board's term in office, and how often does the board meet.
5. Describe how the Center director was selected and by whom. Identify to whom the director reports and the director's duties and responsibilities.
6. Identify the funding, including in-hand, committed, and prospective intramural and extramural support available for personnel, facilities, programs, and operations. A realistic forecast of sponsored funding likely to accrue over a three year period to the Center should be included. The proposal shall detail the space and facilities to be used by the Center; as necessary, approvals by deans and directors should specify such arrangements.

For new Centers, a formal request to establish the Center must be processed. Requests to establish a university, college, school, or program Center should be discussed with the directors and deans of the participating faculty and if approved by the director and dean, shall be forwarded to the Assistant Vice President for Research for consideration. The request to authorize a Center may originate from any interested and involved party.

If a school or college official declines to support the request for a university Center, the organizing faculty may appeal to the Assistant Vice President for Research with the understanding that he/she will carry the request to the appropriate deans and directors for a full discussion of the issues. The Assistant Vice President for Research will consult with the appropriate colleges and schools on all requests to establish an interdisciplinary research Center.

The proposal for a university, college, school, or program Center shall be in the form of a Charter for the Center, which addresses all pertinent policy and procedure requirements as stated in this document, to include

1. A definition of the mission of the proposed Center. It is against this mission statement and plan that the yearly evaluations of Center activities will be made.
2. Vision and objectives of the Center. The objectives should include the research and scholarly expectations of the Center and the Director for three years
3. The general nature of the faculty, staff, and student groups that will, directly or indirectly, be involved in the Center, and the clientele served by the Center.
4. The request to establish a Center must define the governance of the proposed Center. Who will sit on the board? What are the responsibilities of the board? How is the board appointed? By whom? What is the length of the board's term in office? How often does the board meet? Who calls meetings of the board? How is the Center director to be selected? By whom? What is the length of the director's term in office? To whom does the director report? What are the director's duties and responsibilities?

There is no requirement that every Center be identical. The governance structure of each should reflect the unique needs of that Center.

5. Identify funding, including in-hand, committed, and prospective intramural and extramural support available for personnel, facilities, programs, and operations. The proposal to establish a Center shall detail funding by source and amount and the purposes for such funding. A realistic forecast of sponsored funding likely to accrue over a three year period to the Center should be included. The proposal shall detail the space and facilities to be used by the Center; as necessary, approvals by deans and directors should specify such arrangements.

More specifically, the request to establish a Center must address direct and indirect funding for the proposed Center. The direct costs to support the research activities of the Center must be identified, at least in general terms. What are the potential sponsoring programs and agencies? Are there specific opportunities currently available?

The indirect costs such as space, facilities, and general administrative costs must be specified. The proportion of the director's time to be devoted to Center activities; the need for an assistant or associate director; the need for other administrative staff and for clerical and technical staff; space; specialized facilities; office refurbishing and continuing costs must all be identified. Proposed methods of funding these requirements must be suggested. If any college or school resources are anticipated, this will require the concurrence of the relevant college deans and school directors.

There is no fixed model for Center funding. In some cases the Provost or Dean may fund a portion of a faculty position for the director and a portion of a clerical position.

For the Center's first three years, funding for University, College, School and Program Centers' operational expenses will come from in-direct cost recovery from grants and Director's salary savings. The percentages of in-directs and salary savings shall be negotiated with the Provost, Academic Dean(s), and the Director of Sponsored Programs and Academic Research Center.

After the initial first three years of operation, the portion of the returned overhead on Center projects and salary savings will be renegotiated. The guiding principle is to attempt to meet the needs of the Center to enable it to accomplish its mission within the constraints of limited resources.

6. A statement of the qualifications of the proposed Director to manage the affairs of the Center.

All Centers must be registered with the Provost. A register of all authorized Centers shall be maintained in the Provost's office.

Oversight

The request to establish a Center shall detail the oversight of the Center as required in this document. The Stakeholders Committee, or in the case of a smaller, single program Center, the Director, will be responsible for oversight of the Center, will review the financial and administrative functions of the Center, and will receive annual reports from the Center Director as well as internal audit reports of the Center.

The authority to appoint the Center Director resides with the Stakeholders Committee, with the concurrence of the Administrator to whom the Center directly reports. The Center Director shall have

the responsibility to recruit, hire, evaluate and dismiss Center staff consistent with university policy and procedures.

Financial and Administrative Procedures and Responsibilities

Center activities, depending on the scope and nature of such activities, have primary accounting at the school, college, or university-level. Administrative oversight and fiscal control of Center activities are thus the responsibility of the administrative entity to which the accounts are assigned. Signature authority rests with the responsible administrator, and may be designated as deemed appropriate, within university rules and regulations.

Non-academic Affiliates funds and other private support to the Center shall be deposited in University or UNC Foundation accounts consistent with university policy and procedures. If specific deliverables are involved, Foundation accounts are not appropriate instruments for such transactions and should be deposited consistent with Sponsored Programs and Academic Research Center policies. The Provost will make final determination of whether funds should be deposited in university, SPARC or Foundation accounts.

Each Center will be separately identified and assigned a unique organization code within the university's accounting system. The assignment of the organization code will reflect the reporting hierarchy appropriate for the Center (university center, college center or school center). The Center Director, in conjunction with the responsible administrator and the Office of Budgets and Institutional Research, is responsible for setting up the appropriate accounting organization structure within the university's accounting system. All administrative financial transactions shall be processed in accordance with established university policies and procedures.

On a quarterly basis, the Center Director will review all financial records of the Center, including both university and Foundation records, with the administrator to whom he/she reports. It is the responsibility of the Assistant Vice President for Research, Dean or Director to assure that all administrative and financial activities of all Centers are in compliance with all applicable policies and standards. If circumstances warrant, the administrator may suspend the authority of the Center Director to authorize financial commitments or expenditures.

An audit of Centers will be scheduled by university Internal Audit according to the level of risk associated with the operations of the Center. The audit report will be distributed to the Center Director, the Stakeholders Committee, and the Assistant Vice President for Research, Dean or Director.

The Center Director, in conjunction with the responsible administrator, the Director of Human Resources and the Office of Budgets and Institutional Research, is responsible for setting up the appropriate signature authority for both personnel and accounting transactions of the Center, and for keeping authorization up to date as personnel and responsibilities change. Signature authority approval lies with the Provost or Assistant Vice President for Research, Dean, and School Director for University, College, and School Centers, respectively.

Reporting

All faculty associated with a Center shall hold and retain an appointment to an academic program. As such, the School Director and College Dean, in consultation with program faculty, shall be involved in the approval and review of the faculty's instruction, research/scholarship and service.

Programmatic Oversight

For all Centers, programmatic issues (as distinct from fiscal and administrative matters) will be addressed on an ongoing basis by the Center Director, Principal Investigators/Project Directors, the Administrator and, where relevant, the Stakeholders Committee and, ultimately, the University Provost and Assistant Vice President for Research. Advisory Boards will provide further reviews of programmatic progress. Centers remain subject to the Review and Evaluation procedure contained within this policy and should be included in the College's Program Review process.

Review and Evaluation

Each interdisciplinary Center should submit to the Provost's Office an annual report at the end of each academic year. The annual report should address the mission and plan. Updated or modified Center plans should accompany the annual report. Each Center will be established for five years unless there are prevailing reasons for a shorter or longer term. In the final year of authorization, the Center will undergo a thorough review and evaluation of its activities and accomplishments. The review will include an evaluation of the effectiveness of the director and his/her suitability to continue. The review will be organized by the Assistant Vice President for Research.

The annual report shall also include a review of the income and expenditures, including the UNC Foundation accounts, associated with the Center in a uniform format to be developed by the Assistant Vice President for Research and the Office of Budgets and Institutional Analysis. The report should also highlight the activities of the Center: personnel, projects, sponsored awards, recognition, annual budget summary, planned activities for the coming year and proposed budget for the coming year. All reports shall be submitted within three months after the close of the university's fiscal year.

The review committee will nominally consist of three faculty from Graduate Council or their designee, a school director, and a dean or designee. The faculty on the committee should have some knowledge of the field of the Center but should not be directly involved with the activities and programs of the Center. The school director and dean or his or her designee should be from units that the Center most directly impacts. Again, they should not be directly involved in Center activities. The review committee will develop its own structure, procedures and methods of operation. The review will measure the accomplishments of the Center against the mission statement. The review committee will be free to develop other measures of success that seem appropriate. Among these might be: funding history of the Center and associated faculty; the number of faculty, staff, students and others involved with Center activities; the perceived success of the Center by faculty cohorts, relevant deans and school directors.

Reauthorization/Termination

The terminal year review of a Center should make a specific recommendation about whether the Center should be reauthorized or terminated. If the review committee recommends reauthorization, it must include a request for reauthorization in the same manner and format as for initial establishment. The AVP for Research will follow the same procedure as for the establishment of a Center. If termination is recommended, the Center will have a maximum of one calendar year from that date to conclude its affairs. The redistribution of any remaining Center assets will be the responsibility of the administrator with the direct authority over the Center, in consultation with appropriate deans and school directors.

If reauthorization is recommended, the review committee must also make a recommendation as to the continuation of the director. If a change in directors is recommended, the appointing authority specified in the governance section will select a new director.

The review committee may make any other recommendations they deem appropriate regarding the operation, structure, governance, direction or other activities of the Center.

Charter

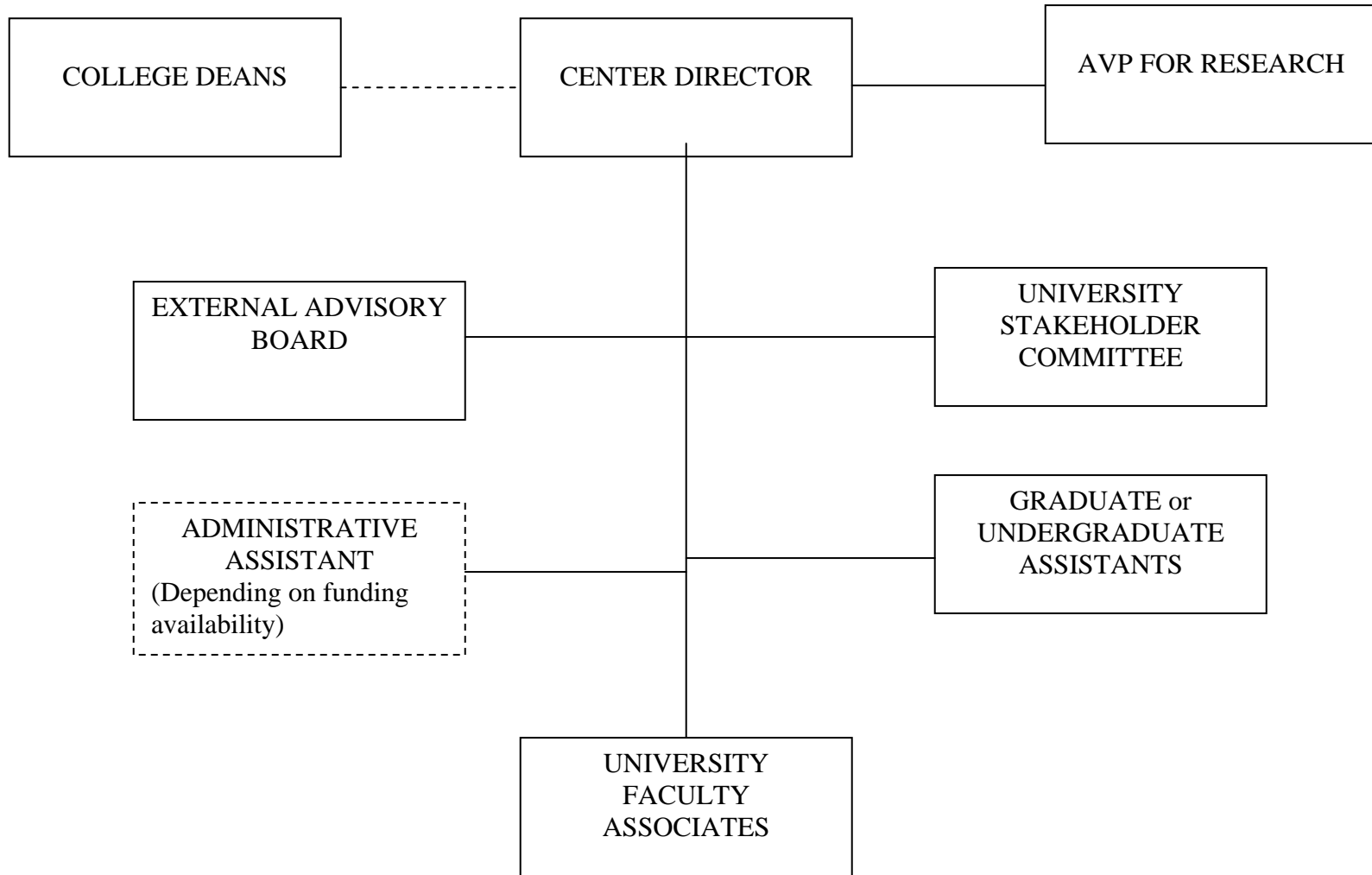
Requests to establish a university Center should address all of the points above and others that may be unique to the proposed Center in a document that will be known as the CHARTER of that Center. If the Center is established, the CHARTER shall be signed by the Center director (interim or permanent) and the Assistant Vice President for Research or other persons designated by the Provost. The date of the CHARTER shall be the beginning date of the Center.

Approval and Revisions

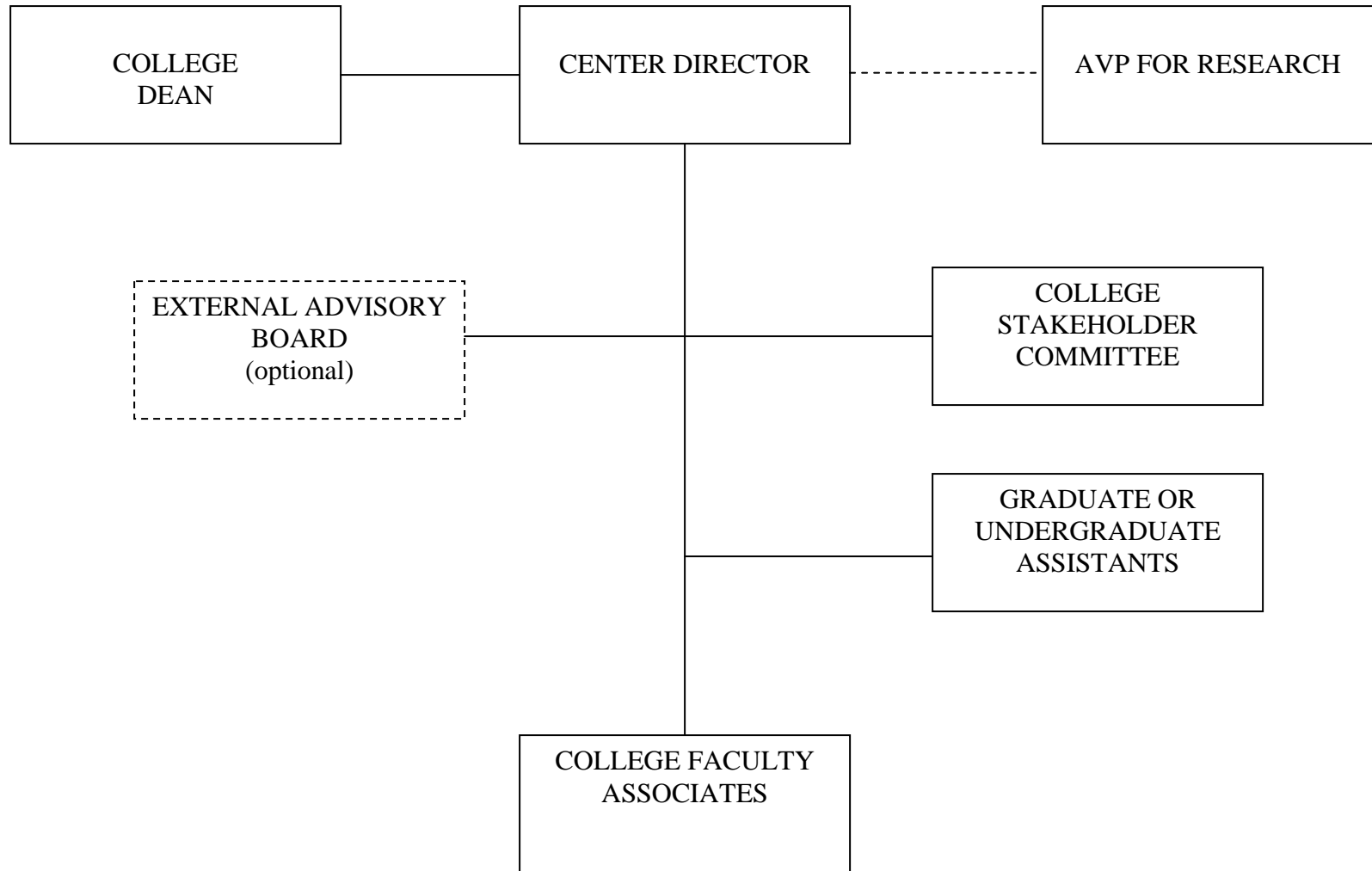
Approved May 3, 2006, by Provost Allen Huang and members of the Academic Council

Revised October 5, 2006, by Assistant Vice President for Research

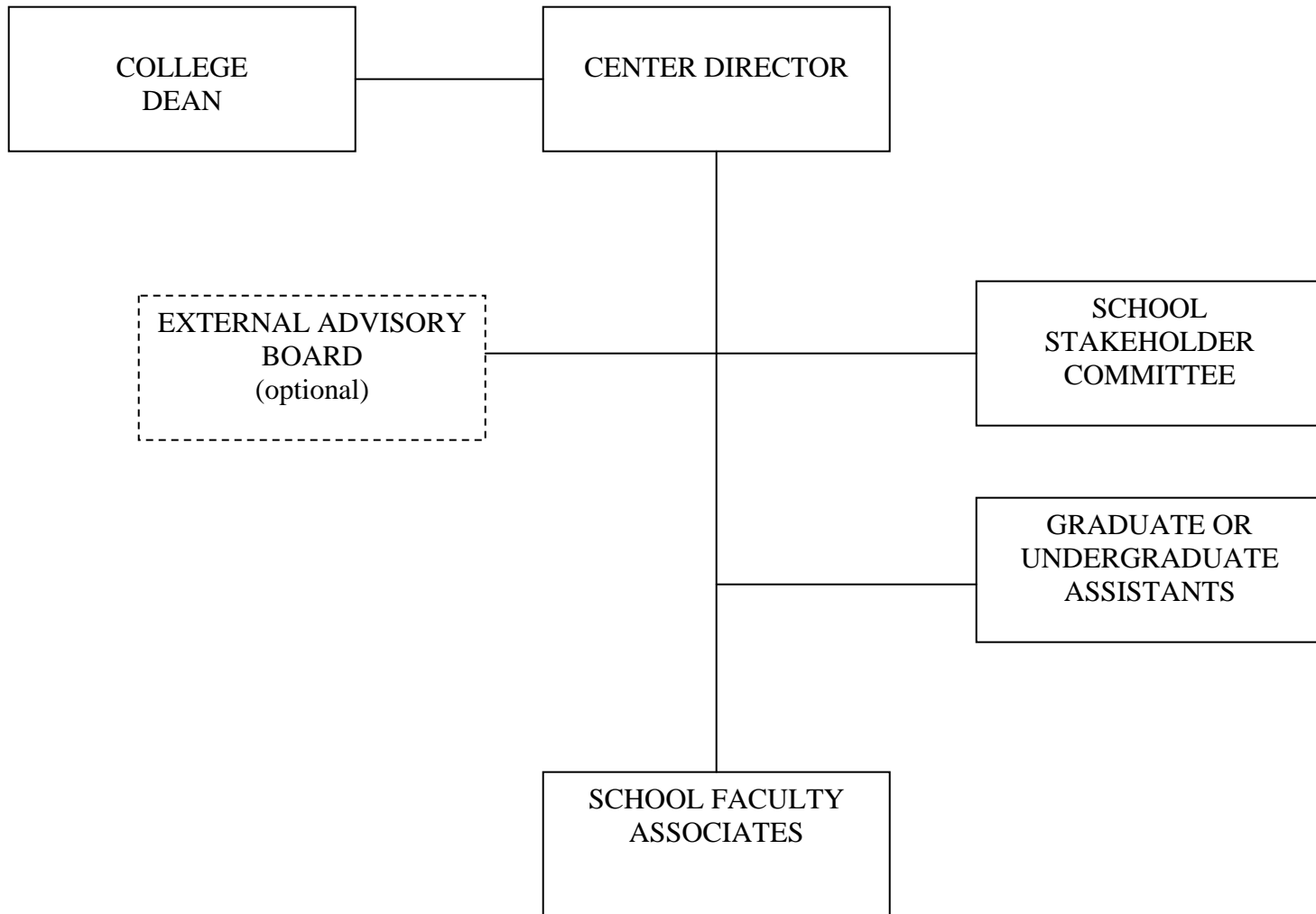
University Center Structure Organizational Structure



College Center Structure Organizational Structure



School Center Structure Organizational Structure



Program Center Structure Organizational Structure

