RESOLUTION

regarding

THE ESTABLISHMENT OF CENTERS AND INSTITUTES

in the

CONNECTICUT STATES COLLEGES & UNIVERSITIES SYSTEM

WHEREAS, The Board of Regents places a particular, coercive importance upon the pursuit of excellence in all academic endeavors undertaken at institutions of the Connecticut State Colleges & Universities System, and

WHEREAS, The Board of Regents has fiduciary concerns regarding the viability and sustainability of new initiatives to be established at CSCU institutions, and

WHEREAS, Policy Statements declare their purpose(s) and Policy Guidelines, in this instance, are necessary to assure that the establishment, evaluation, and continuation or discontinuation of new Centers and Institutes comply with a particular protocol, process and procedures that affect desired results; therefore, be it

RESOLVED, Policies previously adopted regarding the establishment and operations of academic centers and institutes at CSCU institutions are hereby repealed, and be it further

RESOLVED, New Centers and Institutes shall not be established without the prior approval of the Board of Regents, and be it further

RESOLVED, The attached Policy Statement and Guidelines regarding the Establishment of Centers and Institutes are hereby adopted.
THE ESTABLISHMENT OF CENTERS AND INSTITUTES

Policy Statement

The purpose of this Policy is to define CSCU Centers/Institutes and present optional yet germane features, and to issue Guidelines that provide common requirements for their establishment, evaluation, and continuation or discontinuation.

Definitions -

Center: a formally organized, scholarly unit with self-sustaining, substantial source(s) of funding having either an instructional or research focus that tackle challenging and critical issues, in alignment with System and institutional missions.

Institute: a formally organized, scholarly unit with self-sustaining, substantial source(s) of funding with a focus upon clinical, community or public service – addressing a singular, compelling societal problem or need, in alignment with System and institutional missions.

Features -

The Board of Regents (BOR) encourages Centers/Institutes:

- to advance achievement of one or more of the System’s Five Goals, which are:
  
  GOAL 1. A SUCCESSFUL FIRST YEAR
  
  GOAL 2: STUDENT SUCCESS
  
  GOAL 3: AFFORDABILITY AND SUSTAINABILITY
  
  GOAL 4: INNOVATION AND ECONOMIC GROWTH
  
  GOAL 5: EQUITY

- to afford research, service and/or experiential learning opportunities to CSCU students

- to be inter-institutional and/or interdisciplinary collaborations

- to develop marketable products and services, and to facilitate their movement into the marketplace

- to implement formalized linkages between its academic community and the professional and/or service community of focus in its region or service area

- to publish journal articles, make conference presentations, host forums and otherwise publicize research results and studies of services rendered
Policy Guidelines

Establishing a Center/Institute

Faculty, administrators and professional staff member at CSCU institutions and the System Office may submit proposals to establish a CSCU Center or Institute. After approval from an institution’s established internal proceedings, proposals are to be submitted to the System’s Academic Council – the chief academic officers of CSCU institutions convened by the System Provost and Senior Vice President of Academic and Student Affairs. Prior to submission, the proposal must be formally endorsed by the institution’s or System Office’s chief academic officer who will make the initial presentation to the Academic Council.

In determining a proposal’s merits, the Academic Council shall review the following proposal components:

1. **Need** – (a) define the need (a gap between the actual state of affairs and the desired state) for the proposed center or institute, and (b) state the manner (action plan) in which the proposed entity would address the described need. **NOTE:** Both the need and the action plan must be substantiated by reputable research.

2. **Goals and Objectives** – state the goals (broad statements of desired results) and objectives (specific, measurable steps to achieve the stated goal) of the proposed center or institute. State the relationship of the goals and objectives to the institution’s mission and how the proposed entity would add value to the institution. If the goals and objective include impacting upon and/or actively involving the institution’s students and/or some other audience; state explicitly what that impact and/or involvement would be. **NOTE:** The goals and objectives will serve as the foundation for the proposed entity’s evaluation plan.

3. **Administration, Faculty and Staff** – present the administrative structure of the proposed entity and its departmental affiliation(s); and the identification of faculty and staff to be initially involved in the operations of the proposed center or institute, and discuss their expertise, roles and responsibilities.

4. **Budget and Sustainability** – exhibit and explain an estimated, itemized budget for the first year of operation, including space and equipment, projections to cover expenditures in each additional year of the initial four-year provisional period, and the identification of funding sources, a majority of which must be either self-sustaining and/or external to the institution.

5. **Evaluation Plan** – delineate a formal plan to: (a) monitor the implementation of activities to achieve the stated goals and objectives, (b) ascertain the extent to which the goals and objectives are actually achieved, and (c) use the results for program improvement and decision-making; during the initial four-year provisional period.

The proposal components should be outlined initially in a concept paper (no more than five pages) and subsequently elaborated upon in a full proposal, if the Academic Council so elects. The full proposal should include a strategic plan that specifically aligns the proposed entity’s goals and objectives with the major elements of its action plans and expenditures. In considering
the full proposal, the Academic Council may elect to invite the proposal’s principal investigator(s) to address any questions and concerns it may have. Additionally, as an element of its collective, deliberative process regarding the viability of the proposed Center or Institute; members of the Academic Council may study relevant issues and consult administrators, faculty, staff and/or students/alumni of their respective CSCU institution.

NOTE: Templates for the Concept Paper and Full Proposal to Establish a CSCU Center/Institute shall be developed by the Office of the System Provost.

If the Academic Council votes to endorse the proposal, it shall be forwarded to the BOR’s Academic and Student Affairs Committee (ASA) for its consideration, by the Office of the System Provost via a Staff Report. The Staff Report shall contain an analysis regarding the proposal’s merits and a recommendation concerning the Center’s/Institute’s initiation. The endorsing chief academic officer and principal investigator(s) shall present the proposal to the ASA and respond to any questions and concerns. If the ASA approves the establishment of the proposed Center/Institute, the proposal is forwarded to the BOR for its consideration as a consent item. Upon BOR consent, the proposed Center/Institute shall be authorized to be established for a four-year provisional period.

**Center/Institute Evaluation**

By September 1st, in the fourth year of a newly established Center/Institute, its director shall submit an Interim Progress Report to the System Provost, detailing its progress to date. The criteria for this self-study shall be the same as that of the proposal components, highlighting the Center’s/Institute’s accomplishments. If applicable, the accomplishments should detail the impact upon and/or involvement of the institution’s students and/or some other intended audience. The Interim Progress Report shall also include a three-year accounting of revenue and expenditures. The Interim Progress Report shall be summarized through a Staff Report by staff of the System Provost and forwarded to the ASA for its consideration. The Staff Report shall contain a recommendation from the Office of the Provost regarding acceptance or rejection of the report. The chief academic officer and director will present the Interim Progress Report to the ASA and respond to any questions and concerns. If the ASA accepts the Interim Progress Report, its recommendation that the provisional status of the Center/Institute be removed and continuation be authorized for a full seven-year period will be forwarded to the BOR for its consideration as a consent item.

Centers/Institutes established under the provisions of these guidelines shall go out of existence on December 31st seven years after its authorization, unless action to the contrary is taken by the Board of Regents.

By September 1st, in the seventh year of a CSCU Center/Institute established under these guidelines, its director shall submit a Sunset Report for Continuation or Discontinuation to the institution’s chief executive officer and chief academic officer, recommending its continuation or discontinuation. In forwarding the Sunset Report to the System Office, the chief executive officer makes a recommendation regarding the continuation or discontinuation with comments
and the chief academic officer verifies the contents of the report with comments. The format of the Sunset Report shall be similar to that of the Interim Progress Report. The Sunset Report shall be summarized through a Staff Report by staff of the System Provost and forwarded to the ASA for its consideration. The Staff Report shall contain a recommendation from the Office of the Provost regarding acceptance or rejection of the report. The chief academic officer and director will present the Sunset Report to the ASA and respond to any questions and concerns. The ASA may elect to direct the Office of the System Provost to conduct an additional assessment, including a formal site visit, of the Center/Institute or to arrange for such an assessment by a third party, external to the System; and to consider this assessment prior to making its decision. If the ASA accepts the Sunset Report, its recommendation that the Center/Institute be continued for another seven-year period or discontinued as of the following December 31st will be forwarded to the BOR for its consideration as a consent item.

NOTES: (1) Any reports to and reviews from an external funder should be appended to the applicable Interim Progress Report or Sunset Report. (2) Templates for the Interim Progress Report and the Sunset Report for Continuation or Discontinuation of a CSCU Center/Institute shall be developed by the Office of the System Provost.

Continuation or Discontinuation of Center/Institute

In its analysis of a CSCU Center’s/Institute’s Interim Progress Report and Sunset Report, the Office of the System Provost shall contrast the report with the proposal for establishment, or previous Sunset Report, if applicable, and:

- assess whether or not the Center/Institute meets a compelling need and appropriately addresses that need with appropriate and effectual activities
- assess the Center’s/Institute’s success in meeting its goals and objectives
- make a determination as to the adequacy of personnel and their commitment and contribution to the Center’s/Institute’s progression
- make a determination as to the adequacy of fiscal resources and their efficacy of their use
- make a determination as to the thoroughness, effectiveness and credibility of the Center’s/Institute’s evaluation plan

To heighten the level of confidence in which staff from the Office of the System Provost draft requisite Staff Reports, it is recommended that informal monitoring visits and interviews with Center/Institute staff members and oversight administrators be conducted over the course of the year preceding the due dates for Interim Progress Reports and Sunset Reports.

Nevertheless, the recommendation to continue or discontinue an established Center/Institute is essentially an internal decision. While some other administrator might be assigned oversight of a CSCU Center/Institute, the chief executive officer and the chief academic officer of the initiating entity are ultimately responsible for Center’s/Institute’s operations. CSCU institutions, the lead institution for inter-institutional collaborations and the System Office are encouraged to
construct their own annual reporting requirements and formats for Centers/Institutes, as well as other on-going monitoring procedures and mechanisms to remedy deficiencies and implement improvements. It will be important to the System Office’s analysis of Interim Progress and Sunset reports, and subsequently to decision-making by the ASA that the comments of the chief executive and chief academic officers site these supervisory instruments in presenting the rationale for their recommendations.

**NOTE:** The initiating entity’s chief academic officer will be required to verify all reports submitted by a Center/Institute to the System Office.
ITEM
Policy Statement and Policy Guidelines - The Establishment of a Center or Institute at institutions in the Connecticut State Colleges and Universities System

BACKGROUND
On June 8, 2001, the Board of Trustees for the Connecticut State University System repealed its previously established policy for the establishment of instructional, research and service units and established a new policy for the Establishment of a Center or Institute at Connecticut State Universities which incorporates “Guidelines Regarding Academic Centers and Institutes” (BR 01-47). Therein, the guidelines stipulated proposal development, submission, review and approval procedures.

ANALYSIS
Proposals to establish new centers or institutes have become quite elaborate in addressing the guidelines. Oftentimes, proposal assessment requires research of salient points. Moreover, the Board of Regents have emphasized a special systemic focus upon the pursuit of academic excellence and sustainability, to which newly established centers and institute should confirm. Accordingly, a more comprehensive review of proposals to establish new centers or institutes is required to determine viability. Additionally, a new policy is necessary to be applicable to all the institutions within the Connecticut State Colleges and Universities (CSCU) System.

Upon approval of the proposed resolution, the System Provost and Senior Vice President for Academic and Student Affairs will utilize the Academic Council – an advisory body comprised of the Connecticut State Colleges and Universities’ chief academic officers – to review proposals to establish centers and institutes of excellence. Following said review and receipt of a recommendation thereon, in consult with the System President, the System Provost and SVP for Academic and Student Affairs will then move the proposal to the Board’s Academic and Student Affairs Committee for review and a recommendation to the full Board of Regents for Higher Education.

RECOMMENDATION
That the Board of Regents for Higher Education approves the resolution adopting the Policy Statement and Policy Guidelines for the Establishment of a Center or Institute at institutions in the Connecticut State Colleges and Universities System

09/08/17 – Academic and Student Affairs Committee
09/19/17 – Board of Regents