

Campus Administrative Policy

Policy Title: Establishment of Centers and Institutes

Policy Number: 1040 Functional Area: Academic and Faculty Affairs

Effective:	May 1, 2022
Date Last Amended/Reviewed:	October 1, 2018
Date Scheduled for Review:	July 1, 2029
Supersedes:	1040, Establishment of Centers (October 1, 2018)

Approved by: Donald M. Elliman, Jr. Chancellor,
University of Colorado Anschutz Medical
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Prepared by: Associate Vice Chancellor for
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Effectiveness

Reviewing Office:	CU Denver and CU Anschutz Executive Vice Chancellors for Academic and Student Affairs Executive Vice Chancellor for Administration and Finance CFO, University of Colorado Anschutz Medical Campus Vice Chancellor for Finance and Business Operations CFO, University of Colorado Denver
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Responsible Officer: Associate Vice Chancellor for Academic Planning and Institutional Effectiveness

Applies to: CU Anschutz
CU Denver

A. Introduction

The University of Colorado Denver and the University of Colorado Anschutz Medical Campus have a wide variety of Centers as well as several institutes. Centers may be single or multi- disciplinary in scope and generally combine education, research, creative work, leadership, and service activities. The primary purpose of institutes is research and creative work. The purpose of this policy is to set forth procedures for the establishment and approval of centers or institutes and to provide for the renaming of existing organizations, if appropriate, as determined by campus administration.

This policy does not apply to campus administrative units called Centers that provide support services to staff, faculty, and students (e.g. Media Center or Counseling Center), but to academic entities that engage in education, research, creative work, leadership, or service activities.

B. Policy Statement

1. Establishment of New Centers and Institutes

a. Proposals for new centers or institutes must include the following:

- 1) A program plan that describes the purpose and proposed administrative and fiscal structure of the organization. All proposals should include a clear statement as to why this unit cannot be successful as a program within a college, school, or a subunit thereof, and why it must be a formal center or institute in order to accomplish its purpose and stated goals.
- 2) A five-year revenue and expenditure budget which includes anticipated sources of funding for the center or institute, and the individual who will oversee the budget. All financial budgets are required to show how they will achieve fiscal sustainability within 5 years or less and how all costs will be covered until that time.
- 3) Bylaws which include governance structure, control provisions, director terms, leadership, voting procedures, committees, and procedures for amendments. The chancellor approves any appointment of directors and other chief administrative officers of institutes.

- b. The proposal, along with letters of support from the department chair, dean, and/or vice chancellor as appropriate, will be forwarded to the applicable campus Chief Financial Officer (CFO) to review financial and sustainability components, and then to the Executive Vice Chancellor for Academic and Student Affairs who will make a recommendation to the Chancellor regarding the establishment of the center or institute.
- c. The applicable campus Chancellor will approve or deny the center/institute proposal. The Office of the Executive Vice President for Academic and Student Affairs will notify the Vice President for Academic Affairs of the establishment of an institute.
- d. The Board of Regents, through the Vice President for Academic Affairs, shall be notified of the approval of any new institute.

2. Authorization and Reauthorization

- a. New centers or institutes will be authorized for an initial period of five years. Centers and institutes will be subject to review as outlined in their bylaws. Review criteria for reauthorization should include, but not be limited to the following:
 - 1) Success in the accomplishment of the mission, goals, and strategic plans of the center or institute;
 - 2) Maintenance of fiscal solvency; and
 - 3) The center/institute's support of the mission of the supervising unit (department, school, campus).
- b. Authority for continued authorization of centers and institutes rests with the applicable campus Chancellor.

3. Financial Integrity of Centers

- a. The financial integrity of the center will be the responsibility of the supervising department or school/college. All budgetary deficits must be eliminated by the end of each fiscal year.
- b. Any Center with an annual budget of over \$2 million must designate an individual within the center who is responsible for the management of the Center's financial operations. If the center has an annual budget of less than \$2 million, the school, department, or unit in which the center resides must name an individual who will be responsible for the management of the center's financial operations.

4. Financial Integrity of Institutes

- a. Institutes have an annual operating budget that is fiscally independent of other academic units. Written documentation of the fiscal control provisions (i.e., accounting procedures, use of general funds, terms and conditions of expenditure and authorization, agreements for indirect cost recovery, etc.) shall be required for each institute.

5. Faculty Participation in Center and Institute Activities

- a. Faculty at various ranks (including adjunct faculty and other special faculty such as research associates) may participate in the activities of centers or institutes in accordance with the bylaws of the center or institute. Regular tenured and tenure-track faculty members who participate in center or institute activities retain their appointment in their home academic unit. In accordance with University policy, non-tenure-track faculty (specialty track, adjunct, adjunct, research faculty, etc.) are on limited or indeterminate appointments based upon available funding and satisfactory performance.

6. Name Changes and Discontinuance

- a. Name changes involving centers or institutes must be approved by the applicable campus Chancellor.
- b. Centers or institutes may be discontinued at any time at the discretion of the Chancellor. The Board of Regents must be notified upon discontinuance of an Institute.
- c. Centers and institutes must adhere to all University policies and procedures for fiscal compliance and financial management, all grants and contracts must adhere to all university policies.

7. Inventory

- a. An inventory of all campus centers and institutes will be maintained by the Office of the Executive Vice Chancellor for Academic and Student Affairs on each campus.

C. Definitions

A **Center** is a single or multi-disciplinary unit which is organized to conduct education, research and creative work, and/or leadership and service activities. Centers are typically organized around the investigation of a specific theme, issue, project, or policy topic but often encompass interdisciplinary work spanning a number of academic fields. The lifetime of a Center is often limited to the completion of a project or financial commitments. Centers typically reside in departments, schools, or colleges and their directors typically report to department chairs or academic deans.

As provided in APS 1008, An **Institute** is defined as a single or multi-disciplinary unit that is organized for the primary purpose of research and creative work. The mentoring of students within the research and creative work is an important goal of institutes. Likewise, providing public and professional leadership and service related to the fields of the institute is expected. Institutes are characterized by organizational permanency, programmatic autonomy, a broad program of study, and an annual operating budget that is fiscally independent of other academic units. They are expected to have substantial external funding (typically over \$1 million/year), commitments for associated faculty lines, evidence of long-term sustainability, a program of research training, and substantial infrastructure. Faculty and research/teaching staff in institutes usually participate in interdisciplinary graduate/undergraduate education programs. Institutes report to the campus chief academic officer or their designee and go through rigorous program review similar to that for academic departments.

Notes

1. Dates of official enactment and amendments:
 - September 7, 2018: Adopted by the Chancellors
 - January 1, 2021: Revised
2. History:

March 1, 2022: This policy was expanded to include institutes and includes language about what defines an institute compared to a Center.
3. Initial Policy Effective Date: October 1, 2018
4. Cross References/Appendix:
 - [Administrative Policy Statement 1008, Procedures for the Establishment of Institutes](#)