



UNIVERSITY OF ALASKA ANCHORAGE

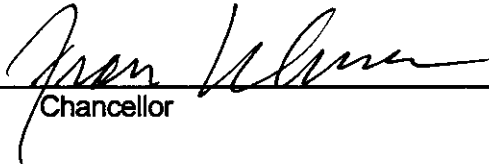
Office of Academic Affairs
3211 Providence Drive
Anchorage, AK 99508-4614

March 4, 2008

To: Fran Ulmer, Chancellor
Through: Mike Driscoll, Provost
From: Tom Miller, Assistant Provost
CC: UAA Governance
Subject: Policy for Approval of Centers and Institutes in Academic Units

The appended policies, procedures and checklist were developed by Academic Affairs in consultation with the faculty and administrators of the academic units at UAA. After incorporation of their suggestions and a favorable review of the documents by both academic boards and the Faculty Senate Leadership, we are ready to implement these for the evaluation and approval of all new centers and institutes proposed for academic purposes at UAA.

Please review these and indicate your acceptance. If accepted they will be implemented immediately.

Accepted: Yes: , No: , (Signed) 
Chancellor

Policy for Approval of Centers and Institutes

Preamble

Centers and Institutes within academic units that provide other than purely administrative or general service functions are governed by this policy. Centers and Institutes are distinct administrative units with separate and well identified missions, activities and outcomes. They add complexity and cost to the administrative structure of the university so they are created and continued only when their existence provides clear operational advantages and leads to greater accomplishments or opportunities that support the mission and vision of Academic Affairs.

It is the responsibility of those proposing centers or institutes to clearly define the intended administrative structure, responsibilities and reporting relationships; to indicate the means by which the unit will be initiated, sustained, governed and assessed; and to describe the advantages, disadvantages and risks that the university should consider in evaluating the proposal.

Governing Regents' Policy

P10.02.040. Academic Unit Establishment, Major Revision, and Elimination.

- A. Academic units are created within the university for the purposes of instruction, research, advanced study, or economic development. All such units, at any level of the university structure, must provide for the effective management and productivity of their activities. Degree and Certificate programs approved by the board or president in accordance with P10.04.020 may be offered only within accredited units.
- B. Campuses, schools, colleges, and designated research institutes and academic units with systemwide responsibilities may not be created or eliminated without board approval. Academic units at lower levels, such as part of a college, school, or research institute, or centers, may be created or eliminated by the president at the request of a chancellor with notification to the board, or at the discretion of the president, by the board. The president will determine when a revision to an academic unit is sufficiently major to require approval by the board. Elimination or major revision of a unit at any level will require a program review as specified in P10.06.010 and university regulation.
- C. Faculty from more than one MAU may be affiliated with a unit, following agreement between the appropriate chancellors and the president as appropriate, as to the type of affiliation, accreditation requirements, and other contractual obligations.
- D. Approval of the board is required to create units as specified in this section and to eliminate or significantly modify the following University units: *(followed by a list from each MAU of colleges, schools, campuses, institutes and centers established by the Board of Regents or Alaska Statute).*

University Regulation

R10.02.040. Academic Unit Establishment, Major Revision, and Elimination.

The President must approve the establishment, elimination or major revision of academic units unless such authority has been delegated.

The academic structure of the University of Alaska is designed as described by the list below. The Statewide Office of Academic Affairs will periodically review the list with MAU Provost offices and update R10.02.04 as appropriate. Approval of academic units and the elimination and major revision

of units listed below require approval of the President. Units designated “BOR” (listed in P10.02.04) also require Board of Regents’ approval. Authority to eliminate or substantially modify existing units may be delegated to the Chancellors for units designated with a “C”. *(followed by a list of existing colleges, divisions, schools, departments, offices, institutes, centers and other units)*

Delegation

At this time the UA System President has final authority in the establishment of centers or institutes. No further delegation of this authority has occurred.

Definitions

A Center is an administrative unit, usually positioned within a college, which is structured and staffed to provide advanced levels of teaching, research, and/or service to a specific discipline, career cluster, population, location or other defined area, consistent with the university’s and the college’s mission and strategic plan. A Center concentrates on activities and focuses on outcomes that are strongly connected to its central theme.

(Note: CCEL and CAFÉ do not fall within a college. At this time all other centers do.)

An Institute is an administrative unit that may be positioned at the college or the institutional level. An institute is organized and provisioned to advance the collection, analysis, application or dissemination of knowledge, provide instruction or service, or influence developments within related disciplines, inter-dependent career clusters, regions, populations or other areas consistent with the university’s mission and strategic priorities. Activities within an institute may include focused work within separate but related arenas. Institutes may house one or more Centers.

Tenured or tenure track faculty members assigned to centers or institutes at UAA will be appointed to a school or college or to an academic department within a school or college which will serve as their locus of tenure. Faculty members from the school or college will serve as peer reviewers for retention, promotion, tenure or post tenure performance evaluations in accordance with established college procedures.

Academic credits are delivered, and degrees and certificates are awarded, only by faculty members assigned to a school or college at UAA.

Procedure for Approval

The following process generally will be followed in obtaining approval for initiating a Center or an Institute at UAA. At any point in the process the Dean or Provost may gather additional information or alternate perspectives by any means in order to assist in making the best possible decision for the university.

1. Proposal content – Address appropriate issues found in the attached guidelines. Include additional issues that are specific to this request.
2. Proposal to Provost through Dean
 - a. The proposal may originate with anyone, but must be sponsored by a regular faculty or staff member within the academic unit in which the center or institute is intended to reside.
 - b. The Dean includes comments and makes a recommendation to the provost. The Dean or Provost may seek or accept additional information from within or outside of the university.
3. When endorsed by the dean, the proposal is accepted by the Provost and sent for review by appropriate offices or bodies: Research and Graduate Studies, Grants and Contracts, Faculty Services, Community Advisors, OAA Exec team, Chancellor’s Cabinet
 - a. Appropriate review depends on the nature of the proposed unit

- b. Effects related to budget, curriculum, governance, personnel, space, research and other programs and units will be considered. The UAA strategic priorities and college missions will be used as a guide.
4. Consultation with Faculty Governance by Provost
 - a. Faculty leadership will be informed of the proposals content and intentions.
 - b. Faculty input will be considered in the Provost's decisions.
5. Recommendation to Chancellor: When there is a positive review of the proposal and endorsement of the Provost, it is passed to the Chancellor for review and approval.
6. Recommendation to President: When there is a positive review of the proposal and endorsement of the Chancellor, it is passed to the UA President for review and final approval.
7. Implementation plan
 - a. When the formation of the Center or Institute is approved, an implementation plan is constructed by the Dean.
 - b. Implementation is begun after Provost's approval of the plan.
8. Notification to SAC, VPAA, BoR and NWCCU – All appropriate communication is assigned and executed.
9. Reviews and evaluations according to schedule – All plans must be reviewed against criteria established for that unit and on a schedule not to exceed 5 years.

Guidelines for Approval of a Center or Institute

Program: _____

| Mission and Justification | |
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| Center description: Mission, participants, operations, products and outcomes. | |
| Org chart showing lines of authority and responsibility. Brief descriptions of positions, assignments, bargaining units, terms of appointment, evaluation of personnel, retention determination. | |
| Justification: Relation to UA and UAA Mission and Strategic Plan 2017, State and local needs met, opportunities and outcomes for teaching, research and service, activity projections (projects, participation, accomplishments, etc.), advisory committee input. Consider advantages and disadvantages of other organizational options for achieving the same purpose. | Should be a clear advantage to the focus, visibility or organization that the center provides. Benefits may include opportunities for restricted funding, special collaborations or unusual assignments. |

| Supporting Documentation | |
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| Fiscal plan including projected revenue, expenses and 4-year budget. (Revenue, expenses, analysis of projections). Clearly identify restrictions on usage and duration of funds. | Show how operations will be initiated and continued. |
| Sustainability of funding, succession of personnel, changes to internal and external conditions and needs. | Projections of stability, agility and responsiveness |
| Availability and qualifications of faculty, staff and external participants. Types of appointments, assignments, affiliation, support and classification. Consider collective bargaining provisions for each position. | |
| Space, facilities and equipment requirements and arrangements. Include IT services, computing, conferencing, clinical, etc. | Available and additional needed to accomplish mission. |
| Library and information resources. | What requirements will be imposed on the Library? |
| Student services | What services are expected from Student Affairs, how will this impact their operations. |
| Outcomes, metrics and assessment plan: How will success, effectiveness and efficiency of center be evaluated. | Assessment plan ready to activate upon approval with outcomes, metrics and targets. Regular, planned evaluation of performance and effectiveness within UAA mission. |
| Special Accommodation for delivery of services | Consider distances, multiple sites, costs of communication or travel, contracted services, etc. |
| Effect of program on other departments and programs | Who else will be contributing in any way? |
| Other important information such as collaborations or external agreements | |

| Approval Process | |
|--|----------------------------|
| Proposal to Provost through Dean | |
| Review by appropriate offices and bodies as established by the Provost: Research and Graduate Studies, Grants and Contracts, Faculty Services, Community Advisors, OAA Exec team, Chancellor's Cabinet | |
| Consultation with Faculty Governance by Provost | |
| Recommendation to Chancellor from Provost | |
| Recommendation to President from Chancellor | |
| Implementation of proposal | After President's approval |
| Notification to SAC, VP AA, BoR and NWCCU | Information |
| Reviews and evaluations according to schedule. | |