

# Centers and Institutes: Guidelines

*(UMKC Centers and Institute Guidelines, Revised: October 2011; updated July 2016)*

## Definitions

The UM System Collected Rules and Regulations ([CRR:50.010](#)) defines an official center or institute as ‘a formally organized unit within the university addressed primarily, but not exclusively, to the conduct of multidisciplinary research, teaching, extension, or service.’ Centers must also include the following criteria:

- A separately identifiable budget
- Professional staff representing more than one academic department or discipline that hold full-time or fractional appointments to the center, which may provide a portion or all of their salaries
- An appointed Director who has a defined task as administrative head of the center

Centers and Institutes serve a variety of purposes and are classified according to the following categories:

*(Definitions for Determining the Classification of Centers and Institutes; March, 2010)*

### — 1) Teaching Centers

To the extent that a center or institute is primarily a teaching unit, supported by general operating funds to offer undergraduate majors or minors, graduate degrees, or undergraduate or undergraduate certificate programs, it should be evaluated as a teaching unit similar to an academic department. Generally, when a center is a teaching unit, it offers interdisciplinary degrees or certificates and acts like an academic department, except that its faculty tends to be comprised of faculty members who hold appointments both in the center and in an academic department. In these cases, like the budget of an academic department, the center budget tends to include mostly the salaries, benefits and other costs of instruction of the academic program.

For a center identified primarily as a teaching unit with a budget consisting primarily of full or fractional salaries of faculty who teach in the academic programs, it should be treated as an academic program for budget evaluation purposes.

### — 2) Research Centers

The missions and purposes of Research Centers/Institutes are to conduct research and, in most cases, to generate external grant (and sometimes gift) funding for their research. Research centers also play an important role in educating and training students, both undergraduate and graduate students. In this role, centers may be supported by instructional or general operating funds, since not all aspects of this educational function can be supported by funded research grant. Research Centers/Institutes also provide access to specialized facilities to conduct interdisciplinary research, scholarship, technology transfer, and economic development.

Centers/Institutes identified as primarily research centers should be largely self-supporting by grant, gift, contract or other external sources of funding. Such sources, based on a three-year running average, should meet or exceed a ratio of 3:1 with respect to general operating funds in the center. F & A or other indirect funds can be considered in this calculation.

### — 3) Outreach/Service/Extension Centers

Some centers and institutes on each campus have missions that are primarily service, extension or outreach oriented. They are interdisciplinary and often conduct research and/or do contract work, but they also have a definite mission to serve the state of Missouri. Legislators and citizens of Missouri have expectations that these units will provide service, often at no or minimal charge, and will be supported by the general operating budget of the university in order to do this.

Centers/Institutes identified primarily as extension, outreach or service centers should be supported with extension or general operating funds for those purposes, and should be subject to budget reductions at the same level as other academic units to the extent allowed by relevant legislation, especially in relation to extension.

### — 4) Academic Support Centers

Academic support centers are those, such as advising centers, math and writing centers, and other units that are created and supported to assist our students in their academic programs across the campuses, not specific to any particular major or discipline. These are likely to be supported with general revenue funds, but may also receive support from grants, gifts, or student fees. These centers in most cases should not be self-supporting, unless they are intended to be fully grant or fee-based.

### — 5) Fee-Based Centers

Some centers provide services to the public for fees and may also receive grants or contracts to provide some of these services. If a center is primarily fee based, it should be self-supporting. If a center's funding is based on both fees and external grants and contracts, then that portion of the center's activities should be treated like a research center. The criterion for a fee-based center would be similar to a service/extension center.

Centers identified primarily service centers supported by fees should be self-supporting. That portion of the budget of these centers that is supported by fees and other external funding should meet or exceed a ratio of 3:1 with respect to general operating funds, as with research centers.

#### — **6) All Centers**

Some centers may not fall clearly into one of the above categories. The general criteria for budget reductions related to these centers build on the criteria above. If a center fits into more than one center type, that portion which is externally funded should generally follow the 3:1 ratio.

All centers should support the mission of the university and the campus. If a center's mission does not support the campus and university strategic plans, any general operating funds received by the center should be phased out over a reasonable period of time, not to exceed three years, based on its activities and funding. If a center in this situation revises its mission and activities in order to meet this criterion within six months, at the discretion of the campus leadership, it could then be treated as a center of the appropriate type above.

#### **Review Process**

The Provost Office will coordinate and conduct annual reviews of all UMKC Centers and Institutes.

Annual reports are to be submitted by September 1<sup>st</sup> and will include:

- Mission statement and how it relates to the mission of UMKC
- Goals from prior report with outcomes
- Activities and achievements
- Goals and concerns for upcoming year
- Income and expenditures (Fiscal Year July 1-June 30)

A committee composed of Provost Office designee, the Vice Chancellor for Research, the Dean of the Graduate School (or their designee), and a minimum of four tenured faculty will review all annual reports and make recommendations to the Provost. A summary report will be prepared for the UM System and Board of Curators.

Two consecutive annual reviews that are negative will result in the termination of the center or an assessment of its viability that includes an evaluation of leadership, existing circumstances, and the feasibility of a transformation.

#### **Approval Process**

According to UM System Collected Rules and Regulations ([CRR:50.010](#)), all Centers and Institutes must be approved by the Chancellor. Proposals for the establishment of a new center or institute should be submitted to the Provost's Office and will be directed to the annual review committee for review and recommendation. After review, the committee will make a recommendation to the Provost, who will then make a recommendation to the Chancellor. The Chancellor will make a final decision on the proposed center. If the center is approved, the Chancellor will notify the UM System Vice President for Academic Affairs.

#### **Proposal for the Establishment of a Center or Institute**

A formal proposal to establish a center or institute will include:

1. Rationale, Goals, and Expected Outcomes
  - Provide a mission statement for the center and describe how it relates to the mission of UMKC.
  - Describe the multidisciplinary focus of the center.
  - Provide both short- and long-range goals.
  - Provide a five-year plan for achieving short-range goals and progressing toward long-range goals with measurable outcomes related aligned with the mission statement.
2. Organization, Governance, and Infrastructure
  - Describe the organizational structure and show reporting lines.
  - Identify the academic units that will cooperate through the center and identify which unit will carry primary responsibility for the center (who "owns" the center?).
  - Explain how participants will interact to make decisions on policies and procedures.
  - Define the composition and responsibilities of the advisory board.

- Define immediate and long-term needs for space, equipment, and service contracts.
  - Identify space requirements (if applicable).
  - Note: It will be the responsibility of the center director to maintain any website where the center's information is displayed, and to notify the Provost's Office of any established website and provide the appropriate web link.
3. Personnel
    - Provide job descriptions for the director and for full- or part-time staff, faculty, and students who will participate in the Center and their percent effort devoted to center activities.
    - Identify the sources of compensation for personnel assigned full- or part-time to the Center.
  4. Finances
    - Provide a five-year budget and budget narrative that projects revenues and expenses; identifies the sources and distribution of indirect costs; explains any requests for institutional investment; describes plans for loans and paybacks; and reflects existing or potential gifts or grants.
    - In the event the center is terminated, closed, or inactivated, describe how the assets will be distributed.
  5. Strategic Partnerships
    - Describe any existing or planned partnerships with external entities, e.g., other universities, organizations, corporations, or agencies. Show how such alliances will increase productivity and quality and enhance UMKC's visibility at the local, state, and national levels.
  6. Advisory Committee
    - Describe the responsibilities of the advisory committee and establish term of service. List the university and community stakeholders who have agree to serve on the advisory committee.
  7. Evaluation
    - Present an evaluation plan that includes methods for documentation, measures of success, data-oriented evidence of results, and a timetable for the regular assessment of progress.
  8. Dean(s) Recommendation

**Additional Information**

- UM System Collected Rules and Regulations ([CRR:50.010](#))
- Definitions for Determining the Classification of Centers and Institutes; March, 2010
- UM System Centers and Institutes: Criteria for Reductions
- Proposal Template for Establishment of a Center or Institute
- Centers and Institutes Annual Report Form

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