

Policies and Procedures for the Creation, Review, and Renewal of University Academic Centers and Institutes

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Contents

- Introduction 3
 - Purpose 3
 - Definition of a University Academic Center or Institute (UACI) 4
- The UACI Coordinating Committee 5
 - Functions..... 5
- Process for Establishing a Center or Institute 6
 - Fundamental Principles for Establishing a UACI 6
 - Steps in the Creation of a New UACI..... 6
 - UACI Registry..... 9
- Exceptions to Approval Procedures 9
 - Expedited Procedures Due to Urgent Circumstances 9
 - Expedited Procedures for Existing UACIs 10
 - Variations for Grant-funded Centers 11
- Reporting and Assessment..... 11
 - Annual Reports..... 11
 - Multi-year Review Procedures 11
 - Exceptions to Review Procedures 12
- Other Procedures 12
 - Name Change..... 12
 - Discontinuance..... 13
- Forms 14
 - Letter of Intent Template 15
 - Governance Charter Template 16
 - UACI Committee Checklist for Creation of New University Academic Center/Institute 19
 - Checklist for Approval of a New UACI 20
 - Checklist for UACI Closure 21
 - UACI Leadership Change Form..... 22
 - UACI Name Change Proposal Form..... 23
 - Annual Report Template 24
 - Multi Year Report Template 26

Introduction

The University carries out its mission through a great number and variety of academic units and non-academic units. UACIs, as academic units, are supportive and complementary to academic departments and colleges. A UACI may be administratively situated within an academic department or a single academic college or in collaboration between two or more colleges or in exceptional instances administratively situated outside of any academic college.

Distinguishing between the various other units and those that come within the scope of regulations applicable for UACIs requires careful consideration of the nature and activities of the unit, rather than relying on the name alone. This UACI Guidance provides further explanation of criteria and procedures for determining which units are or are not included within the scope of the UACI rule, including the following concepts and principles:

- A University “Academic Center” or “Academic Institute” is different from a facility or other non-academic unit which may bear the name of “center” or “institute,” but which has as its primary mission providing a service or administrative support to members of the University community or external communities.
- Individual or small groups of faculty members often carry out some activities similar to those of a UACI, typically academic research, through a non-UACI form, which may be referred to as a faculty- managed “Lab,” “Initiative,” “Consortium,” “Working Group,” or simply “Project,” and typically on a smaller scale than a UACI. Such a form will typically be approved by the cognizant Department Chair and Dean, and not be considered a UACI for purposes of this Rule.

Purpose

This guidance is provided in accordance with Rule 6-001UACI: University Academic Centers and Institutes. The UACI Rule, effective July 1, 2021 and revised xxxxx, implements a portion of [Policy 6-001](#)--Academic Units and Academic Governance which establishes requirements for the UACI regulations. Section III.A.1.e.iii states that UACI regulations shall:

- A. Further describe the functions of UACIs;
- B. Set procedures and criteria for creating and periodically renewing/or discontinuing UACIs;
- C. Provide for a UACI coordinating committee to manage the processes of creating, reviewing and renewing/ or discontinuing UACIs;
- D. Ensure that creation and renewal procedures include consultation with other academic units potentially interested in or affected by activities of a UACI;
- E. Require a formal recommendation of the Academic Senate for creation of new UACIs, and regular reports to the Senate by the UACI coordinating committee;
- F. Require all new UACIs to have a trial period;
- G. Require that the organizational and governance structure of each UACI be described in a governance charter with a faculty shared-governance body overseeing academic activities and administrative officers overseeing fiscal management; and
- H. Require each UACI to have a funding and sustainability plan.

The rule requires that certain portions of the regulation must be accompanied by “approved UACI Guidance.” Approved guidance outlines specific procedures for the creation, reporting, review, renewal, and discontinuance of UACIs.

Definition of a University Academic Center or Institute (UACI)

University Academic Center or Institute (UACI) is an academic unit of the University which has an identifiable teaching, research, or academic mission, that primarily perform research, instructional, or technology transfer functions and are intended to provide services to students, the community, businesses, or other external audiences, or to obtain external funds.” (USHE-UBHE, R401). <https://ushe.edu/policies/>. UACIs provide additional structure and support for activities of academic departments and colleges. A UACI differs from those primary academic units in important respects, including that ordinarily:

1. A UACI is not authorized to appoint faculty members (i.e. not a “faculty-appointing unit” per Policies 6-001 and 6-302). University faculty members may be affiliated with a UACI in one or more ways, but each must have a primary faculty appointment in an academic unit authorized to appoint faculty—usually an academic department.
2. A UACI is not authorized to directly offer for-credit curriculum (i.e., not a “course-offering unit” per Policies 6-001 and 6-500). A UACI may support and assist in the development and offering of curriculum, but that curriculum must be offered by another authorized unit — usually an academic department, which retains primary responsibility for the curriculum. A UACI may provide important educational experience opportunities for university students, such as internships, research projects, conference participation, and other practical experience activities, but any academic credit awarded based on those experiences is awarded by an authorized course-offering unit—usually an academic department.
3. The following types of entities do not meet the definition of a center or institute as articulated in this policy and are, therefore, exempt:
 - a. A facility or other non-academic unity which may bear the name of “center” or “institute”
 - b. Those whose mission is to provide services to specific university constituencies. Examples include the Writing Center (serving students) and the Center for Teaching Excellence (serving faculty)
 - c. Centers focused primarily on the clinical care of patients
 - d. Activities supported by external grant programs that are called centers by the funding agencies but do not operate or function as a center as outlined in this definition, unless the funding agency requires formal designation as a university center or institute.
 - e. A single or small group of scholars engaged in research or outreach activities.

Any question about whether a particular unit should be classified as a UACI, or as another type of entity not governed by the UACI Rule will be resolved by the UACI Coordinating Committee (subject to a request for consideration and final decision granted by the University President or designee).

Approval of UACI Guidance

This UACI Guidance was developed in consultation with the Graduate Council and the Academic Senate Executive Committee. The Academic Senate is charged with approving UACI Guidance and revisions to the UACI Rule.

The UACI Coordinating Committee

The University Academic Centers and Institutes Coordinating Committee (“UACI Coordinating Committee”) is comprised of the following **nine** voting members, who are charged to represent the interests of the university broadly, and not any specific academic unit or area of the university:

- Three administrative officers (or their designees), appointed by the University President, with terms continuing during their terms of office, which unless otherwise specified by the President for a particular academic year shall include:
 - The Dean of the Graduate School/ Chair of the Graduate Council
 - Vice President for Research
 - Vice President for Institutional Advancement.
- The President of the Academic Senate (or designee) during their term in office.
- Five tenure-line or career-line faculty members, appointed to three- year staggered terms (July 1 to June 30), limited to two consecutive terms, including:
 - One, appointed by the President of the Academic Senate and ratified by the Senate Executive Committee, with relevant expertise which may be from experience as a member of the Senate Executive Committee.
 - Four, appointed by the President of the University after consultation with the existing members and the Senate Executive Committee, with relevant expertise. At least two should have experience with UACIs, typically by being a current or recent past Director of a UACI, or member of a UACI Governance Body, or having participated in thorough reviews of UACIs and other academic units.

Leadership and administrative support. The President of the university shall appoint one or both of the Dean of the Graduate School and Vice President for Research (or their designees) to serve as chairperson or co-chairpersons (voting), and to provide administrative and staff support for the activities of the Committee. Support may be provided from other units, including the Office of Curriculum Administration or other units with responsibilities for creation or review of academic units.

Functions

The Committee shall:

- Review initial proposals for completeness, facilitate resolution of any concerns and authorize advancement of submissions through completion of the established process.
- Review and make recommendations regarding requested exceptions for abbreviated procedures for UACIs consistent with the UACI Rule;
- Contribute to developing new or revised regulations and guidance materials regarding UACIs;
- Maintain a file of documents for each UACI to include: the initial proposal documents, the UACI’s Governance Charter, annual reports, and multi-year reviews.
- Maintain a UACI Registry available to members of the University community with current basic information about each UACI;
- Report at least annually to the University President and the Academic Senate regarding the Committee’s activities, including the number and status of UACIs in existence, UACI proposals processed since the most recent report, and other matters as requested; and

- Otherwise participate as appropriate in the implementation of the UACI Rule. The overall guiding purpose of the UACI Coordinating Committee is to promote and support the work of centers and institutes at the university.

Excusal and substitutions. If any voting member has a substantial connection with a UACI that is being considered by the Committee, or other basis for a significant conflict of interest or bias, that member shall inform the other members, and the other members shall determine whether (i) the potential conflict is sufficient to require excusing that member from the consideration of that UACI, and (ii) whether to request that the University President or current chairperson appoint a temporary substitute for that excused member.

Process for Establishing a Center or Institute

Fundamental Principles for Establishing a UACI

1. The mission of the UACI is consistent with the mission of the University.
2. The mission of the UACI and the benefits its activities would provide cannot be accomplished in an efficient and effective manner by existing academic units (departments, colleges, or other UACI's) without formation or continuation of the UACI. And the mission and benefits cannot be appropriately accomplished through other available less formal alternative organizational means, such as a laboratory, research group, project, or initiative, so that a formally established UACI is the most appropriate organizational form.
3. The mission and academic activities of the UACI do not substantially replicate the mission and academic activities (e.g., functions, offerings, topics) of an existing academic unit (e.g., academic department, college, or other UACI).
4. In establishing a UACI, representatives have sought input from participating or otherwise significantly affected academic units, other interested units or individuals, and resulting input is appropriately accurately documented and addressed.
5. The UACI's overall organizational structure serves the University's fundamental values for fiscal oversight, rigor in academic activities, and faculty shared governance, with a UACI Governance Body as a primary feature of that structure.
6. The organizational structure, mission, and activities of the UACI are consistent with the terms of any donation agreement, grant, or contract with any funding source for the UACI, and those terms are not inconsistent with any fundamental principles of the University.
7. The UACI has a transparent Funding and Sustainability Plan, which demonstrates sufficient and sustainable funding consistent with its size and mission, and its history and the specific authorization status sought.

Steps in the Creation of a New UACI

1. Identify and gain support from faculty and administration of participating units.
2. Submit a Letter of Intent to the UACI Coordinating Committee
3. Create and submit a Governance Charter
4. Final approval

1. Gain support for new UACI

A new UACI must be created through consultation and approval of the academic unit/s in which it is housed. When garnering support, the proposed UACI must show that it provides added value to the mission of the university and accomplishes tasks not possible through the existing academic units. The faculty member(s)

initiating the UACI must work with faculty, chairs and/or deans in participating units to garner support before the Letter of Intent is submitted.

2. Submit a Letter of Intent

The proposer for a new UACI must complete the Letter of Intent template and submit it to the cognizant SVP. The purpose of the Letter of Intent is to notify the university community of the upcoming proposal and to provide an opportunity for deans to identify significant duplication and/or potential for collaboration with the proposed UACI. The Letter of Intent template includes the following information:

- Type of UACI
- Proposed name of the UACI
- Names of the director and oversight administrator of the UACI
- List of affiliated units
- List of external partners
- Description of the mission and activities of the UACI
- Description of funding for the UACI
- Description of the value and benefits of the proposed UACI

As part of the letter of intent, letters of support are required from participating or affected units, i.e., department chair(s), dean(s), and/or director(s) of other affiliated UACIs. Letters of support should appropriately describe the initial consultation efforts that were undertaken to garner support for the UACI. This should include details of engagement with faculty and staff, and resulting consideration of potential benefits and impacts that the UACI will have on the affected unit.

Letters may also describe any areas of substantial overlap with missions and activities of other units and any anticipated substantial redirecting of funding or other resources away from other units to the proposed UACI. The letter should provide explanations of means for minimizing potential negative effects, if any.

The Coordinating Committee reviews the contents of the letter of intent to ensure completeness. The committee may ask for additional information or letters of support. They send the letter to the cognizant SVP for endorsement, prior to consultation with the Council of Academic Deans.

The Letter of Intent is reviewed by the Council of Academic Deans through a 10-day comment period. The call for comments requests that feedback is sent to the chair of the UACI Coordinating Committee.

Upon the conclusion of the 10-day comment period. The UACI committee shares relevant information with the proposer so they can update the Letter of Intent to resolve any concerns.

3. Create a Governance Charter

After the 10-day CAD comment period and subsequent revision (if needed) of the Letter of Intent, the proposer submits a Governance Charter to the UACI Committee. A Governance Charter Template will be provided.

The UACI Governance Charter is a written description of the organizational structure and the procedures by which administrative decision-making actions, academic shared governance decision-making actions, and advisory activities are conducted for a UACI, including description of the makeup and functions of the UACI's Governance Body, and any advisory entity, description of the procedures followed for advisory activities and decision-making actions, and description of procedures for conducting regular reviews of the UACI's Director

(and if appropriate subordinate administrators). A Charter must first be approved by the UACI's Oversight Administrator(s) and the UACI Coordinating Committee, and then must be approved through steps identified in section 4. A copy of the fully approved charter shall be included as part of any multi-year review. A fully approved charter will remain in effect until a revised version is approved.

Elements of the Governance Charter:

- A. Identification of the UACI Director. The Director is the administrator of a particular UACI with direct and primary responsibility for financial management and other administration of the UACI. The Director has supervisory authority over any employees of the UACI.
- B. Identification of the UACI Oversight Administrator. The Oversight Administrator is the cognizant dean, vice president, or designee, with direct supervisory authority over a UACI's Director, and administrative oversight responsibility over the budget and operations of the UACI.
- C. List of affiliated or participating units. This should include both internal and external affiliations.
- D. Mission statement or statement of purpose for the UACI. This section briefly outlines the goals of the UACI in relation to its research, teaching or outreach mission.
- E. Explanation of the administrative decision-making procedures. A UACI's decision-making procedures regarding academically significant activities must primarily involve input from faculty who are represented in a governance body. This special-purpose academic governance body is assigned responsibilities approximating as nearly as practically possible the roles of faculties in governance of academic departments and colleges as described in Policy 6-001 (Section III-B-3).
- F. List of members of the UACI Governance Body. The voting members of the Body shall include a majority who hold tenure-line or career-line faculty appointments at the university, and at least one fourth of the voting members shall be reasonably independent of the UACI's Director (not primarily employed by the UACI or under supervision of the Director, and in other respects not subject to direct and substantial financial or other influence of that administrator). The UACI's Director may serve in a non-voting ex officio capacity and may serve as chairperson of the Governance Body. They can be authorized to vote only to break a tie, but otherwise shall not vote. Other administrators who report to the Director may serve as non-voting ex officio members. Students, and staff employees may serve in either non-voting or voting roles, so long as the faculty hold the majority of voting positions. Members may be selected by appointment of the UACI's Oversight Administrator or by election or ratification by a designated body of faculty members involved with the UACI, or a combination of the above. The UACI's Director may recommend, but shall not ultimately decide on selection of any voting member.

Persons from outside the University may serve a UACI in an advisory capacity, including on any structured advisory body, but shall not serve on the UACI's Governance Body in any capacity, voting or non-voting. No major financial donor, or representative of such donor, shall serve on the Governance Body (this is not intended to preclude membership of a faculty member, administrator, or staff employee who makes relatively minor donations for activities of the UACI, such as to a fund supporting student activities).

- G. List of UACI employee positions. Include an estimate of the number of individuals to be employed in each position.

- H. List names and titles of affiliated individuals. This includes key people who are neither employees of the UACI nor members of the Governance Body (including faculty and external individuals who serve in an advisory capacity).
- I. List of people with other roles of involvement (i.e., students or staff, if applicable). Attach an Organizational Chart.
- J. Funding and sustainability plan. This plan is expected to be commensurate with the size and scope of the UACI. The Governance Charter must include a written and transparent plan describing the sources and types of funding and/or other support identified or anticipated for a UACI, demonstrating sustainability of its operations and activities. The plan must identify the reporting lines for fiscal management, if applicable. If a UACI is expected to have revenue and expenses, a template is provided for a budget projection through the period of authorization.
- K. Plan for assessment. The Governance Charter must describe the performance outcome metrics of the UACI, including how the UACI and its administrator will be reviewed annually and for each multi-year period of authorized operation. This plan determines the content of the UACI's annual report, which, for a UACI with a teaching mission may be as simple as reporting the number of students served. See page 3 of the Governance Charter Template for sample metrics.

4. Final Approval

The Letter of Intent plus the Governance Charter make up the final proposal which is approved through the following steps:

- 1 – The UACI Committee will complete the approval checklist and certify that all the requirements of for the proposal are met.
- 2 –Graduate Council approval
- 3 - Academic Senate approval
- 4 - Board of Trustees notification on the General Consent calendar.
- 5 – USHE notification on the General Consent calendar.

UACI Registry

Immediately upon approval, the UACI will be added to a publicly available University of Utah UACI Registry. Within three months of being added to the Registry, the new UACI must have developed a website, which will be linked to from the UACI Registry. The registry must contain, at minimum, the name and contact information for the director of the UACI, and an active link to the UACI website.

Exceptions to Approval Procedures

Expedited Procedures Due to Urgent Circumstances

The University President may grant an exception to allow expediting of the overall process for consideration of a Formal Proposal for Initial Phase Authorization of a new UACI, if the President determines that such expedited processing is necessary due to urgent circumstances and is in the overall best interests of the University.

Such an expedited process approved by the President may include having the Senate Executive Committee, rather than the Academic Senate, receive, consider, and submit a Recommendation regarding a particular Formal Proposal for Initial Phase Authorization of a new UACI.

If so requested by the University President, the Senate Executive Committee may approve further expediting the process by performing its required role at a specially called meeting, or through individual polling of members by electronic means without holding a meeting.

This provision is intended to allow shortening the overall proposal process by abbreviating but not eliminating the important involvement of the Senate and the constituencies it represents, including by allowing proposals to proceed more rapidly than the regular Senate meeting schedules would accommodate.

To grant an expediting exception abbreviating the Senate role, the University President shall make and submit to the UACI Coordinating Committee and the Senate Executive Committee a notice which specifies the urgent circumstances particular to the involved proposal for a new UACI, makes a determination that the extraordinary use of expedited processing is necessary due to such urgent circumstances, and specifies which expediting measures authorized under this Rule are directed to be taken, or are requested.

[Note for draft: Add guidance here for this -----"Approved UACI Guidance should further describe types of urgent circumstances which may justify an extraordinary use of expedited processing. At a minimum the circumstances must be such that following the ordinary more deliberate and slower overall process would pose a substantial risk of loss of some important opportunity for advancement of the University's mission, using the expedited process would significantly reduce that risk, and so there is adequate justification for truncating the faculty shared governance role of the Senate, as well as abbreviating other steps.]

If an exception is granted, then after the Letter of Intent process is completed and a Formal Proposal for Initial Phase Authorization (3 years) is acted on by the Senate Executive Committee, the Recommendation of the Executive Committee, substituting for that of the Senate, shall be included as the proposal is processed through the remaining steps (action by the University President and Board of Trustees). The expedited action taken by the Senate Executive Committee as substitute for the Senate and the final outcome of the proposal shall be reported on the Information and Recommendations Calendar of the next Academic Senate meeting (for questions and comments). A UACI approved for Initial Phase Authorization Status through this expedited process shall not under any circumstances be authorized to operate beyond three years without a Formal Proposal presented to and acted upon by the Academic Senate itself.

The criteria shall include assessment of: the alignment of the UACI's mission and activities with the mission of the University; the UACI's unique significant contributions to that mission; the quality and quantity of results from the activities -- such as scholarly output, educational experiences for students, or community engagement; the adequacy of current financial and other resources and sustainability for the future; the beneficial or non-beneficial effects on other units; and needs and opportunities for improvement, and for growth if appropriate. The information provided must demonstrate compliance with the fundamental principles for UACIs described in Policy 6-001 and this Rule.

Expedited Procedures for Existing UACIs

An exception may be granted, for an existing unit of the University, to abbreviate the overall process to attain Authorization Status, through one or more of these variations: (i) eliminating the ordinarily required Letter-of-Intent process; (ii) shortening the Initial Phase Authorization period to fewer than the ordinary three years; (iii) entirely eliminating the ordinarily required Initial Phase Authorization period and so advancing directly to a proposal for Continuing Authorization Status; or (iv) using a shortened proposal form for and abbreviating the process for a Formal Proposal for Continuing Authorization Status.

Such an exception may be granted for an academic unit which (i) existed prior to the first effective date of this Rule and (ii) for at least three years has conducted activities substantially similar to those characteristic of an authorized UACI, but was not formally approved as a UACI through the process prescribed by this Rule.

Such an exception may also be granted for an academic unit which (i) was finally approved to operate as an academic Center or Institute under the University Regulations and procedures applicable for such approvals prior to the first effective date of this Rule, and (ii) has since that approval continuously operated in accord with the terms of that approval. Provided, however, if that prior approval was only for temporary status, for any period of less than seven years (formerly sometimes referred to as “provisional”) and the unit had not been approved for the former equivalent of Continuing Authorization Status prior to this Rule’s effective date, then an exception may be granted to abbreviate or eliminate the steps of a Letter of Intent, and a Formal Proposal for Initial Phase Authorization, but shall not abbreviate or eliminate the requirement of completing at least three years operating with temporary status and then completing the ordinary process required by this Rule for submitting and attaining approval of a Formal Proposal for Continuing Authorization status.

Variations for Grant-funded Centers

The UACI Coordinating Committee may grant exceptions or variations to some or all of the UACI regulations for sponsored research or grant-established centers that receive funding from agencies with reasonably similar or more rigorous requirements. Concessions may be allowed for meeting structural requirements of the Governance Body, allowing variations to steps in the approval process, accepting a grant proposal in place of a governance charter, recognizing reports made to the funding agency as meeting UACI reporting requirements.

Reporting and Assessment

Annual Reports

The director of the approved UACI will submit an annual report to the oversight administrator. The annual report requires a brief response for each of the following:

- Narrative of the UACI’s significant achievements within the past year.
- Assessment of performance relative to established metrics as set forth in its Governance Charter.
- Statement of proposed goals and activities for the next year.
- List of changes made to the most recent Governance Charter (if applicable).

Multi-year Review Procedures

At the end of each authorization period (3 years for new UACI and every 7 years thereafter, a UACI must undergo a multi-year review. The UACI must provide:

- A narrative of the UACI’s significant achievements within the previous period of authorization, including a critical assessment of the longitudinal performance relative to established metrics as set forth in its Governance Charter and the value added to the university and its mission:
- A statement of vision for the next period of authorization. Outline opportunities and plans for improvement if problematic areas have been identified in the UACI’s assessment of performance:
- All annual reports submitted since the last period of authorization
- Current Governance Charter (including organization chart).
- Budget summary and forecast showing actual expenditures and number of FTE positions for the prior two fiscal years and estimated expenditures and number of FTE positions for the next three fiscal years.
- Support letter(s) from oversight authority and head(s) of other participating units.

Exceptions to Review Procedures

The UACI Coordinating Committee, after consultation with the University President (or designee), may approve any of the following exceptions or variations from the procedures for UACI reports and renewals, if needed to achieve efficiency and effectiveness of the processes under the circumstances.

- Align the review and renewal schedule with scheduling of reviews required by an outside entity, such as a federal agency providing grant funds (if over the long term, the adjusted schedule will be substantially equivalent to and adequately serve the purposes of the ordinary schedule);
- Coordinate review of the UACI with a review of another entity with which the UACI is closely related (e.g., an academic department or college, or another UACI), to optimize overall efficiency of the review processes; or
- Conduct an early review to address significant concerns about the UACI, or to provide baseline information for considering significant changes to the UACI.
- Allow substitution of materials prepared for another purpose (such as reporting to a granting agency), to partially or fully replace otherwise required materials, if the overall information provided will adequately serve the University's purposes and substitution will not unduly burden the various participants in the processes.

Other Procedures

Name Change

The initial naming and subsequent renaming of academic units generally is governed by Policy 9-001 (and then UBHE-USHE Policy). For what Policy 9-001 refers to as "honorary names" it specifies procedures managed by the Vice President for Institutional Advancement. For what it refers to as "functional names" it describes procedures which include consideration by the Graduate Council and Academic Senate, as well as administrative officers and the final University-level decision of the Board of Trustees.

For honorary naming/ renaming, the specific matter of the choice of an honorary name for a UACI is governed by Policy 9-001 and so pursuant to that Policy is managed by the Vice President for Institutional Advancement. Under the UACI Rule, the UACI Coordinating Committee shall be informed of the process and shall report the resulting name to the Academic Senate.

For choosing a functional name, the following procedures implement both general provisions of Policy 9-001 and the principles of Policy 6-001 and this UACI Rule for the specific context of UACI naming.

- For initial naming, the proposed functional name shall be included as part of the process to create the new UACI, so that participants considering those proposals (including the Graduate Council) have the same role for the naming as they do for the overall issue of creating the UACI.
- For renaming with a functional name the UACI's administrators should ensure that there has been appropriate consultation and consideration of potential effects the proposed name might have on other units. After such consultation, the process requires
 - Submission of an Application for Name Change to the UACI Coordinating Committee after consultation with the UACI's Governance Body;
 - Consultation with the Graduate Council members;
 - Recommendation by the Academic Senate (Debate or Consent Calendar, as determined by the Executive Committee)

- Recommendation by the University President; and
- Final University-level decision by the Board of Trustees.

The terms “center” and “institute” in the name of a UACI may be applied based on these principles. In general, an academic center will typically be smaller and have a narrower set of activities with the director reporting to a cognizant dean. An academic institute will be relatively large, with an extensive breadth of activities that may transcend the university’s boundaries. An institute is typically established on a long-term basis, often supported by an endowment and/or extensive external funding, and reports directly to an SVP. An institute may be associated with a physical infrastructure. An institute provides an array of services to a broadly defined population and serves as a prominent link between the academic and professional communities. An institute may house one or more centers within it.

Discontinuance

A UACI may discontinue for a number of reasons, to include:

- Supporting grant or award has ended
- The unit fails to comply with reporting requirements
- Insufficient resources to support the unit
- Relocation of key faculty
- Lack of interest in continuing the unit

A UACI may also be discontinued at any other time by decision of the University’s Board of Trustees, upon a recommendation of the University President made after consultation with the UACI Coordinating Committee, based on a determination that discontinuing the UACI serves the best interests of the University.

A UACI that ceases to operate must take the following steps for discontinuance:

1. The dean or chair of the sponsoring college/department must review financial implications of the closure, including resolution of outstanding financial commitments, if any. If there are employees or payroll involved, there should be a plan for the employees after the center is closed (could be moving to a different position, or it could be termination of the position).
2. Close all open grants and/or contracts associated with the center.
3. Resolve open reports to donors and donor agreements.
4. Archive relevant records, as required by [University policy 1-009](#). This is required for GRAMA requests. The University archivist may be consulted to determine what, if any, records must be archived.
5. If there are websites associated with the Center containing information that should be maintained for future use, there should be an agreement with an entity for future hosting of those websites.
6. The dean or chair should complete the *Certification Checklist for UACI Closure*, certifying the above steps have been completed. The checklist is submitted to the UACI coordinating committee.
7. The UACI coordinating committee will determine whether to proceed with closure or recommend further review by the Graduate Council or the Academic Senate.

Leadership Change

Change in the director or the oversight administrator must be reported to the UACI Coordinating Committee using the Leadership Change Form.

Forms

Letter of Intent Template

Committee Checklist for Creation of New UACI

Governance Charter Template

Example Outcome Metrics

Checklist for Approval of a New UACI

Checklist for UACI Closure

UACI Leadership Change Form

UACI Name Change Proposal Form

Annual Report Template

Multi Year Report Template

Letter of Intent Template

Name of UACI: _____

Classification of unit (check all that apply):

- Research
- Training
- Service
- Instructional

Director name and contact information: _____

Oversight administrator (include **letter of support***): _____

List affiliated/participating units (include **letters of support*** from heads of affected units):

** Letters of support should appropriately describe consultation efforts, to include details of engagement with faculty and staff, and resulting consideration of potential benefits and impacts that the UACI will have on the affected unit.*

List external partners, if any: _____

Provide a brief mission statement or statement of purpose for the proposed UACI:

Description of funding sources:

Provide an explanation of the benefits that the UACI's activities will provide for the University, including how the mission and activities will overlap with, complement, or be distinct from activities of other University units, and how the added value from the UACI will be consistent with the University's overall mission.

Following a 10 day comment period, the letter of intent is updated to resolve constructive feedback received. The submitter attaches the completed Governance Charter for final submission.

Governance Charter Template

Director name and contact information: _____

Oversight administrator: _____

Affiliated/participating units: _____

Mission statement or statement of purpose for the UACI, including a description of major focus area and activities of the UACI.

Explain the administrative decision-making procedures and how the **Governance Body*** will provide faculty input and oversight of the operations of the UACI.

** The Governance Body is a formally established entity which serves the fundamental principles of faculty shared governance and academic integrity by:*

- 1) Providing faculty input and oversight of the UACI,*
- 2) Participating in annual reporting and periodic reviews of the UACI, and*
- 3) Providing input in periodic reviews of the UACI's Director as conducted by the University administration.*

KEY PERSONNEL

List names and titles of the members of the Governance Body:

Note: The voting members of the Governance Body shall include a majority who hold tenure-line or career-line faculty appointments at the University, and at least one fourth of the voting members shall be reasonably independent of the UACI's Director (not primarily employed by the UACI under supervision of the Director, and in other respects not subject to direct and substantial financial or other influence of that administrator). The UACI's Director may serve in a non-voting ex officio capacity, or be authorized to vote only to break a tie, but otherwise shall not vote, and may serve as chairperson of the Governance Body. Other administrators who report to the Director may serve as non-voting ex officio members. Students, and staff employees may serve in either non-voting or voting roles, so long as the faculty hold the majority of voting positions. Members may be selected by appointment of the UACI's Oversight Administrator or election or ratification by a designated body of faculty members involved with the UACI, or a combination of the above. The UACI's Director may recommend, but shall not ultimately decide on selection of any voting member.

Persons from outside the University may serve a UACI in an advisory capacity, including on any structured advisory body, but shall not serve on the UACI's Governance Body in any capacity, voting or non-voting. No major financial donor, or representative of such donor, shall serve on the Governance Body (this is not intended to preclude membership of a faculty member, administrator, or staff employee who makes relatively minor donations for activities of the UACI, such as to a fund supporting student activities).

List UACI employee positions, if applicable (including names & qualifications of persons already identified).

List names and titles of affiliated individuals who are neither employees of the UACI nor members of the Governance Body (including faculty and external individuals who serve in an advisory capacity):

Other roles of involvement (i.e., students or staff, if applicable). Attach an Organizational Chart.

FUNDING AND SUSTAINABILITY

Describe the funding and sustainability plan with revenue and expenses (if applicable) projected through the period of authorization. Include reporting lines for fiscal management (if applicable). If the UACI does not require redirection of funds, describe how the work of the UACI will be supported.

ANNUAL REVIEW:

Describe the performance **outcome metrics**** of the UACI, including how the performance of the UACI and its administrator will be reviewed annually and for each multi-year period of authorized operation.

SUPPLEMENTAL INFORMATION:

Describe other relevant procedures, including how the UACI will comply with any donation agreement or grant-related requirements. Attach agreements, policies, or forms, as applicable.

Approval of Governance Charter:

Director name

Signature

Date

Oversight administrator name

Signature

Date

****Example Outcome Metrics**

Financial

- Revenue (university subsidies, endowments, external funding, indirect cost recovery, income from service centers, etc.)
- Expenses (salaries, tuition, equipment purchase and upkeep, licenses, operational expenses, outreach activities, etc.)
- Faculty and staff FTE

Teaching

- Graduate student involvement (e.g., internships, research projects, etc.)
- Undergraduate student involvement
- Number of courses developed
- Number of courses offered (in conjunction with official course-offering unit)

Research and Creative Works Productivity

- Number of external awards
- Number of grants submitted
- Publications (limited to those directly related to the goals of the C/I)
- Collaborative grants
- Collaborative publications
- Juried shows, gallery showings, etc.
- Projects completed
- Honors and awards
- Patents, licenses, companies formed, etc.

Visibility and Impact

- Ranking
- Media mentions
- External stakeholders
- Presentations
- Outreach activities
- Economic impact

UACI Committee Checklist for Creation of New University Academic Center/Institute

For use by the UACI Coordinating Committee. The Committee must attest that all the following criteria are met before moving the proposal forward for final approval.

Name of Center/Institute:

Director of Center/Institute:

Oversight Authority/Authorities:

Criterion:	Criterion Met:	Notes:
Letter of Intent is complete.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
LOI includes letter(s) of support from oversight authority and head(s) of all affected units.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Proposal demonstrates consultation with and support from faculty in affected units.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Letter of Intent & support letters sent to CAD for review and comment to identify significant duplication and/or potential for collaboration.	Yes <input type="checkbox"/> No <input type="checkbox"/>	Date sent for 10-day comment period: _____
If applicable, any issues raised from comment period are resolved.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
Governance Charter is complete and approved by Oversight Administrator.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
The Governance Body structure demonstrates appropriate faculty involvement and is consistent with requirements of independence as outlined in guidance on the Charter Template.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
The Charter lists outcome metrics by which the UACI will be annually assessed.	Yes <input type="checkbox"/> No <input type="checkbox"/>	
The Funding and Sustainability Plan demonstrates sufficient and sustainable funding consistent with the UACI's size and mission	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Revised (if needed) LOI and complete Governance Charter are sent to the Graduate Council for final review and comment (see Graduate Council checklist).	Yes <input type="checkbox"/> No <input type="checkbox"/>	Date sent for 10-day comment period: _____
If applicable, any issues raised from final comment period are resolved.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	

UACI Committee Approval

Date: _____

Checklist for Approval of a New UACI

For use by the Graduate Council and Academic Senate

- Is the mission of the UACI consistent with the mission of the University?
- Has the proposal addressed and resolved inefficient replication of activities with existing units, if any?
- Did the proposers seek input from faculty in participating units?
- Is the proposal approved/endorsed by heads of all affected units?
- Is the UACI governed only by members of the university community (at least 50% of whom are faculty)?
- If there are participants outside of the university, are they serving in a strictly advisory capacity?
- Do the activities, including governance, of the UACI preserve academic freedom, consistent with principles of academic integrity and rigor?
- For the UACI's Governance Charter, can you answer yes or n/a to the following questions?
 - Are the outcome metrics on which the UACI will report appropriately based on the type of activities the UACI is involved in?
 - Does the charter address compliance with any donation agreements or grant-related requirements?
 - Does the decision-making power of the governance structure allow reasonable independence from external funding sources, if any?
 - Do the decision-making procedures include faculty input, and appropriate oversight of the operations of the UACI?
 - Is there an appropriate funding and sustainability plan?
- Can the UACI operate without substantial redirecting of funds from existing units? *Note: If the UACI is not dependent on internal or external funds, the following question is not applicable.*
- If the UACI depends on funding from either internal or external sources, can you answer yes or n/a to the following questions regarding a funding and sustainability plan?
 - Have heads of affected units endorsed the redirecting of funds?
 - Is the funding sustainable through the proposed term of authorization (as demonstrated by completion of a budget forecast worksheet)?
 - Are terms of any external funding arrangement consistent with values of the university?
 - Are there funds to support personnel who are included on the organizational chart?
 - Is there a fiscal oversight authority identified?

University of Utah Mission Statement

The University of Utah fosters student success by preparing students from diverse backgrounds for lives of impact as leaders and citizens. We generate and share new knowledge, discoveries, and innovations, and we engage local and global communities to promote education, health, and quality of life. These contributions, in addition to responsible stewardship of our intellectual, physical, and financial resources, ensure the long-term success and viability of the institution.

Values Statement (values by which we accomplish our mission):

In accomplishing our local to global mission, the University cultivates an academic environment in which the highest standards of intellectual integrity, teaching, research and scholarship are practiced. Students at the University learn from and collaborate with faculty who are at the forefront of their disciplines and who offer high quality engaged learning and clinical experiences. The University faculty and staff are committed to helping students excel. We zealously preserve academic freedom, promote diversity and equal opportunity, and respect individual beliefs. We advance rigorous interdisciplinary inquiry, international involvement, and social responsibility, and integrate global and sustainability goals and principles across the institution.

Checklist for UACI Closure

College/Department _____

Name of Center _____

The following tasks must be completed for closure of the above Academic Center/Institute:

Action	Done	n/a
1. Outstanding financial commitments are resolved, including a plan for employees, if any.		
2. Open grants/contracts are closed out.		
3. Donor agreements are resolved.		
4. Relevant records are archived, as required by university policy.		
5. Assets have been disposed of or redistributed, as applicable.		
6. Website has a plan for future maintenance, if needed.		

Please comment if any of the above items are not completed.

Certification that all checklist items are complete, as applicable:

Signature/Date:

Name:

Title:

UACI Committee approval:

Signature/Date

Name:

Title:

UACI Leadership Change Form

Change of Director

The director has primary responsibility for financial management, administration of the UACI, and supervisory authority over any employees of the UACI.

Change of Oversight Administrator

The oversight administrator is the cognizant dean or vice president (or designee), with direct supervisory authority over a UACI's Director. The oversight administrator provides administrative oversight responsibility over the budget and operations of the UACI. If there is more than one oversight administrator, list in comments.

Name of UACI: _____

Name, title, and contact information for current or proposed Director

Previous Director (if applicable):

Name and title of current or proposed OVERSIGHT administrator:

Previous oversight administrator(s) (if applicable):

Comments, including a brief rationale for change:

Acknowledgments:

Note: Change of director requires signature of new/proposed Director and current oversight administrator. Change of oversight administrator requires all three signatures.

Director name

Signature / Date

Current or Proposed Oversight Administrator name

Signature / Date

Previous Oversight Administrator name (if applicable)

Signature / Date

UACI Committee Chair Approval:

UACI Committee Chair name

Signature / Date

UACI Name Change Proposal Form

Submitter Name & Email: _____

Old Title: _____

New Title: _____

College/School: _____

Department/Program: _____

Other Participating Programs: _____

Effective Start Semester: _____

UACI Director: _____

Describe the motivation for the change in the name of the UACI and why this is appropriate.

Describe any effect the change will make to the UACI's mission, governance structure, membership, operations and finances.

Describe any donor or financial agreements in connection with the proposed change.

Describe how the change was discussed and voted upon by the membership of the UACI.

Please include a letter of support from the relevant administrators supervising the UACI

Annual Report Template

Name of UACI:

Director Name & Contact Information:

Website URL:

Attestation of website accuracy:

- The UACI website reflects the most current information for the UACI

Provide a brief narrative of the UACI's significant achievements within the past year. Include an assessment of performance relative to established metrics as set forth in its Governance Charter:

Provide a statement of proposed goals and activities for the next year:

List any changes made to the most recent Governance Charter:

Attach the current Governance Charter (including Organization Chart).

If the UACI is dependent on funding from internal or external sources, complete the attached budget summary and forecast showing actual expenditures and number of FTE positions for the prior fiscal year and estimated expenditures and number of FTE positions for the next fiscal year.

Annual Report Approval:

Director name

Signature / Date

Oversight Administrator name

Signature / Date

Budget Summary and Forecast

Instructions: Begin with the last full fiscal year cycle. You may add any notes to the financial summary table in the fields below the table. This is just an example and should be tailored to fit the particular needs of the center.

Revenue	Prior year	Upcoming year
State Funding		
Foundation/Gift funds (specify sources)		
Sponsored funds (specify sources)		
Other funds (specify sources)		
Total Revenues	\$0.00	\$0.00
Less Operating Expenditures		
Personnel (provide number of FTE positions)		
Salary and wages		
Employee Related Expenses (payroll & benefit tax)		
Student support		
Operations (materials, supplies, phones, etc.)		
Capital equipment		
Travel		
Other Miscellaneous (list - e.g., services, non-capital equipment)		
Total Expenditures	\$0.00	\$0.00
Net Revenue		
Net Income/Loss	\$0.00	\$0.00
List of Resources		(i.e., lab space/data center)

Multi Year Report Template

Name of UACI:

Director Name & Contact Information:

Website URL:

Attestation of website accuracy:

- The UACI website reflects the most current information for the UACI

Most recent period of authorization:

- 3-year Initial authorization
 7-year continuing authorization (only last 5 annual reports required)

Provide a narrative of the UACI's significant achievements within the previous period of authorization. Include a critical assessment of the longitudinal performance relative to established metrics as set forth in its Governance Charter and the value added to the university and its mission:

Provide a statement of vision for the next period of authorization. Outline opportunities and plans for improvement if problematic areas have been identified in the UACI's assessment of performance:

List any changes made to the most recent Governance Charter:

Required Attachments:

- All annual reports submitted since the last period of authorization (up to 5).
- Current Governance Charter (including organization chart).
- If the UACI is dependent on funding from internal or external sources, include a budget summary and forecast showing actual expenditures and number of FTE positions for the prior two fiscal years and estimated expenditures and number of FTE positions for the next three fiscal years.
- Support letter(s) from oversight authority and head(s) of other participating units. At least one is required. Support letter(s) should provide rationale for continued authorization of the UACI. As a suggestion, the letters could address some of the following, or any other appropriate justification.
 - Evidence demonstrating that the UACI adds value to the university that cannot be provided at the college, department, or division level.
 - Evidence demonstrating the UACI funding is sustainable
 - Affirmation of the rigor of the UACI's academic activities
 - Affirmation that the UACI's system of faculty shared governance is well-functioning
 - An assessment of alignment with the mission of the university
 - Examples of the impact of the center on the university community

Three Year Budget Summary and Forecast

Instructions: Begin with last full fiscal year cycle. You may add any notes to financial summary table in the fields below the table. This is just an example and should be tailored to fit the particular needs of the center

Revenue	2 FY Years prior	Prior FY year	Total prior years	Future FY1	Future FY2	Future FY3	Total Budget forecast
State Funding							
Foundation/Gift funds (specify sources)							
Sponsored funds (specify sources)							
Other funds (specify sources)							
Total Revenues	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Less Operating Expenditures							
Personnel (provide number of FTE positions)							
Salary and wages							
Employee Related Expenses (payroll & benefit tax)							
Student support							
Operations (materials, supplies, phones, etc.)							
Capital equipment							
Travel							
Other Miscellaneous (list - e.g., services, non-capital equipment)							
Total Expenditures	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Net Revenue							
Net Income/Loss	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
List of Resources		(i.e., lab space/data center)					