Academic Affairs Policy Statement No. 7

Institutes

1. References

   b. Centers and Institutes policy statement approved by the University Council, January 26, 1993 and revised June 4, 1998 and December 2009.
   c. Last updated April 2019

2. Definitions

Institutes are organizational forms designed to further the university's instructional, research, and public service missions in ways that cannot be addressed through traditional structures, such as departments, schools, and colleges. Though institutes are an integral part of the university, their respective missions should not duplicate those of departments, schools, and colleges. Instead, they should offer programs or opportunities that cannot be offered at least as well through existing structures. The key ingredient of any institute is "value added."

Institutes provide an organizational base for university mission-related activities in one or more academic areas. They pursue activities that may include, but are not limited to, interdisciplinary research involving faculty and students from a variety of internal administrative structures, offering credit courses, academic programs, or continuing education activities related to their area(s) of interest, or facilitating efforts of the department, school, college, or university to obtain extramural funding in specific areas. Institutes serve as a formalized link between the academic community and the professional community in the area(s) of interest.

This definition of institute is not to be confused with use of the term "institute" in connection with adult and continuing education. One of several formats used to group adult learners for non-credit instruction or instruction earning CEU’s (continuing education units) is the institute. Institutes of this sort are typically conducted over a fixed period of time and address specialized areas of concern or practice, adding to the knowledge which participants already have on the subject.

3. Responsibility

   a. Administrative Unit
      Institutes may be administratively located within a department, school, college, other unit, or report directly to a vice president. The most decentralized administrative level consistent with meeting the institute mission is preferred.
b. **Appointments**

Institute directors will be appointed with standard review processes which may vary depending upon the executive officer to whom the director reports. Tenure-track faculty who participate in institutes will be appointed to departments or schools in accordance with normal appointment procedures, with the exception that search committees will be formed jointly of department/school and institute faculty. Both entities must agree on the employment of a new tenure-track faculty member. Non-tenure track faculty with time budgeted in an institute as well as in other units will have their promotions and merit raises managed in a manner determined at the time of appointment.

Although some portion of tenure-track faculty time may be budgeted in an institute, tenure and promotion processes will be initiated through the relevant department or school. However, the department or school review process will be organized to reflect the advice and recommendation of an institute if one third or more of the faculty member's appointment is in the institute. Merit salary decisions for those faculty with time divided between a department/school and an institute will be made jointly.

Part of the time a tenure-track faculty member has budgeted in a department should include formal instruction. An exception to this teaching responsibility requires the approval of the appropriate department head and dean. This is to insure that institute tenure-track faculty have regular contact with the department in which tenure resides, and, in particular, with teaching.

If a tenure-track faculty member is appointed jointly and the department wishes to recommend tenure but the institute does not wish to continue the appointment, then it will be the responsibility of the department, if tenure is approved in the university review process, to come up with the funds required to purchase the faculty time from the institute. If the department does not wish to tenure a person, even though the institute favors tenure, then tenure will not be awarded (other than through a successful appeal based principally, as our Guidelines now provide, on process). A position vacated because tenure was not awarded will not be allocated by the department for different purposes without the explicit knowledge of the institute director and the explicit approval of the cognizant department head, dean, or vice president. Similarly, if the services of a non-tenure track faculty member are not to be continued in an institute, and another unit sharing that person's services wishes to retain his or her services, then the other unit is responsible for obtaining any needed salary.

4. **Establishment of Institutes**

a. **Criteria**

Establishment and maintenance of institutes must be based upon a defined program with measurable outcomes, defined policies and operating procedures, and a
defined review process. Their establishment is justified when it is clear that their respective missions support and enhance the programs of the university. Even then, they must have missions which demonstrably cannot be accomplished in an efficient and effective manner by existing departments, schools, colleges, centers, institutes, or other units.

b. Proposals
Proposals must include a narrative that states institute goals and describes how they will meet the above criteria; the statement of goals must include specific outcomes and criteria that will be used to measure progress toward the goals.

The proposal must indicate the administrative unit and the leadership position within that unit to which the institute reports and must designate the process by which the institute will be reviewed. The institute may be reviewed: (a) as an independent unit in Program Review; (b) as part of the Program Review of the administrative unit; (c) by the administrative unit; or (d) in another specified and approved manner. Review should occur no less frequently than once every seven years.

Proposals should also contain:

i. A Statement of Operating Procedures and Policies. These should include a description of the structure, the roles and responsibilities of any participating units, an advisory committee structure, and the processes for appointment or reappointment.

ii. A description of amounts and sources of anticipated income. Anticipated financial arrangements between the institute and other units, if any, should also be described. A projected budget covering the first three years of operation should be included and should detail expenditures and income expected.

iii. A description of the faculty and staff necessary to initiate its programs and maintain its operations for the first three years.

iv. A description of the physical resources that the institute will occupy and utilize during its first three years.

v. A list of participating faculty, their home units, and their roles in the institute, including a description of the formal arrangements through which faculty will participate with the institute, will be evaluated for promotion, tenure, and salary increases, and the extent to which each affiliated faculty member will have his or her salary contained in its budget.

vi. Institutes that offer or plan to offer a degree program must have clear, formal agreements with home units of faculty that guarantee their availability to teach courses needed by students in the program.
vii. Letters of support from affected departments, schools, colleges, other units, and the administrator who will have oversight responsibilities.

viii. A description of the responsibilities of any participating units.

ix. Recommendations, if appropriate, for the creation of courses or degrees and how they are integral to the functioning of the institute.

5. Procedure

A proposal may be originated by any interested staff or faculty but, prior to submission for formal review, must be submitted for recommendations and comments to the heads of those units whose faculty and staff are involved.

Proposals for new institutes should be routed through the following approval sequence where applicable:

a. Faculty of the academic unit(s) proposing the institute
b. Department Head(s) or Director(s) of proposed institute
c. Dean(s) or Vice President(s) of proposed institute
d. Dean(s), Director(s), or Vice Presidents(s) of units that include faculty participating in proposed institute
e. Graduate School Program Committee, if the institute will offer graduate programs or courses
f. Graduate Council, if the institute will offer graduate programs or courses
g. Dean of the Graduate School, if the institute will offer graduate programs or courses
h. Office of Instruction (for review)
i. Senior Vice President for Academic Affairs and Provost
j. University Curriculum Committee
k. Executive Committee of the University Council
l. University Council
m. President
n. Board of Regents (for notification)

6. Annual Reports and Reviews

a. Annual Reports
   Institutes should submit annual reports according to the accepted practices of their administrative unit.

b. Reviews
   Institutes will undergo an initial review by the administrative unit, to be completed by the end of the third year of existence. The institute should summarize progress toward its stated goals and demonstrate how it adds value to the university. Thereafter, the institute shall be reviewed as part of the normal cycle of review as
specified in its initial proposal. Review should occur no less frequently than once every seven years.

Institutes undergoing review must address any changes to resources, commitments, operating agreements, or elements as specified in the original proposal or most recent review.

The review report for a third-year or normal cycle review of an institute must include a statement that continuation of the institute is either recommended or not recommended. If continuation is not recommended, the administrative unit head shall decide whether to invoke the process for dissolution, described below.

Academic programs offered by Institutes will be reviewed under Academic Affairs Policy 4.12-2, UGA Academic Program Review Policy

c. Documentation
   The annual reports and all reviews of an institute will be made available to the Office of Accreditation and Institutional Effectiveness.

7. Recommendations for Significant Changes to Mission of Institute

   Recommendations either for significant changes in mission of institutes will be reviewed by the University Curriculum Committee, which in turn will make its recommendation to the Council.

   All recommendations for change require approval by the President before implementation.

8. Dissolution of an Institute

   Recommendations for dissolution of an institute may be made either (1) as a result of periodic institutional review consistent with program review guidelines, or (2) through typical department, school or college, or institutional processes. Recommendations for dissolution will be made if an institute fails to meet the substantive conditions for its establishment or does not provide the "value added" requisite of a center or institute. Any such recommendations should follow Academic Affairs Policy Statement No. 8, Dissolution of Academic Units.