

SPECIAL REPORT
of the
RULES COMMITTEE
proposing

**THE ADOPTION OF A POLICY FOR
ESTABLISHING INSTITUTES, CENTERS OR
SIMILAR ORGANIZATIONS AT UMASS/AMHERST**

Presented at the
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Committee Membership

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During the Fall semester of 1980 it became apparent to the Rules Committee that little uniformity existed in the procedure whereby Centers, Institutes or similar organizations were established. Although the Central Office has developed broad, general guidelines relating to procedures to be followed on Centers and Institutes, it was still unclear as to what steps must be followed. Whereas some proposals underwent a systematic and stepwise review process via the established governance process, others appear to have sprung into being with little or no review. Thus a great deal of inconsistency and confusion exists on how Centers and Institutes become established. After consulting on this issue with the Chancellor and Provost, the Rules Committee has developed a policy which is outlined below.

POLICY FOR ESTABLISHING INSTITUTES, CENTERS OR SIMILAR ORGANIZATIONS AT UMASS/AMHERST

I. Introduction

At a time when the University is seeking to develop new sources of funding it seems likely that both Faculty members and Administrators will turn to the establishment of Centers, Institutes or other similar organizations to facilitate the solicitation of outside funds. Experience has shown that institutes and centers on University campuses inevitably serve some academic purposes. Therefore, it is appropriate that the Amherst campus have a policy which outlines the procedures and policies governing the establishment of Centers, Institutes and other similar organizations. Such a policy will provide for a uniform approval procedure which has been lacking in the past and also serve to protect the academic integrity of the campus.

II. Procedure for Establishing Institutes and Centers at UMass/Amherst

A. Origin

A proposal to establish any center or institute may be initiated by one or more faculty members or by the University administration. Regardless of its source of origin, all proposals shall conform to this policy.

B. Proposal Content

The proposal should clearly address the following points:

1. the purpose to be served and the needs to be met by the proposed entity;
2. the existence of an adequate concentration of talent;
3. the consistency with departmental, college and/or campus long-range plans;
4. the proposed relationship with other academic units on the campus, including use of faculty on released time.

C. Resource Implications

At a time of decreasing resources, it is imperative that any proposal should clearly address the potential resource needs of the proposed unit, including personnel, equipment, office and other space, telephones, library resources and use of the University Computing Center.

D. Approval Process

The formal approval process will begin with the submission of a proposal to the Rules Committee of the Faculty Senate. The proposal must then be reviewed at the following levels:

1. By the Faculty governance structure, including appropriate Faculty Senate councils and/or committees culminating in the approval by the Faculty Senate. If the proposers have not named a department or college affiliation for the new unit, Faculty Senate councils/committees shall consult the relevant academic department(s) and obtain the approval thereof.
2. By the Provost
3. By the Chancellor

Additionally, the approval by the University Board of Trustees is needed if: (a) the establishment of an independent Trust Fund is contemplated or is subsequently found to be necessary; (b) the proposed unit is to be an independent entity and become a distinct budgetary unit, soliciting its own funds, making its own personnel appointments; (c) the unit is to be named for a particular individual, living or dead.

E. Appointments

Regardless of the source of funds, all tenure-track appointments to institutes, centers or similar organizations carrying academic rank shall be reviewed and recommended by appropriate faculty peer groups (i.e., Departmental Faculty personnel and School or College Faculty personnel committees). In the case of other professional appointments, the appropriate school or college administrator and Department administrators shall be advised of the appointments.

F. Allocation of Space

The allocation of space for Institutes, Centers or similar organizations shall be treated in precisely the same way as other academic units.

MOVED: That the Faculty Senate recommend the adoption of the Policy for Establishing Institutes, Centers
48-81 or Similar Organizations at UMass/Amherst described in Sen. Doc. No. 81-049.

PROCEDURE FOLLOWED ON CENTERS AND INSTITUTES*

- 1) The establishment of any center, or any use of this term, requires the prior approval of the Chancellor of the campus in question. Such approval should be based on:
 - the existence of an adequate concentration of talent
 - the usefulness of such a designation
 - its consistency with long range plans

Furthermore, any commitment of personnel, space and other resources must obviously have had the prior approval of the appropriate chairman and dean.
- 2) If such a center is a subordinate unit within an existing department, school, college or institute, no approval beyond the Chancellor is needed. The chairman, dean, or director of the subordinate unit retains full authority and responsibility for the oversight of the center's management and expenditures and of any trust fund associated with the center. Appointments, regardless of the source of funds, must be made to the parent unit and not to the center, and all documents and publications (grant and contract proposals, brochures, news releases, etc.) must clearly identify the center as being part of the parent unit.
- 3) Review by the central administration and approval by the Board of Trustees is required for the establishment of any free standing center which is a distinct budgetary unit, soliciting its own funds, making personnel appointments, and not subordinate to a previously established and Board approved department, college or institute.
- 4) The term "Institute" should be used only for distinct and free standing units of substantial size. Their establishment requires the same approval procedure as a free standing center.
- 5) The Board of Trustees must approve the naming after an individual of any center, institute or other administrative unit, as well as of any building or space within a building.

*Developed by the President's Office.

This appendix added by the Secretary

Listing of Centers and Institutes, UMass/Amherst

CENTERS

Human Resources Research Center
Center for the Study of New Russian Literature
Translation Center

Sen.Doc. No. 79-054
Sen. Doc. No. 78-036

Communication Skills Center

Sen. Doc. No. 77-038
Sen. Doc. No. 78-054

Computing Center

Centers for Child Care

Sen. Doc. No. 80-74

Fine Arts Center

Water Resources Research Center

Labor Relations and Research Center

INSTITUTES

Environmental Institute (Institute for Man and His Environment)

Approved at 174th
Meeting of F.S.

Institute of Agricultural and Industrial Microbiology

Polymer Research Institute

Social and Demographic Research Institute

Institute for Governmental Services