

**POLICY AND GUIDELINES FOR ESTABLISHMENT
AND OPERATION OF INSTITUTES, CENTERS, FACILITIES
AND INTERDEPARTMENTAL FACULTIES**

UNIVERSITY OF ARKANSAS DIVISION OF AGRICULTURE

**SECTION I
OPERATING PARAMETERS**

PURPOSE: To develop more fully the interdisciplinary opportunities for research, academic, extension and service programs, it may be desirable to identify collaborative programs in the form of *Institutes, Centers, Programs, Laboratories, Faculties* and *Service Facilities*. Such entities should provide several benefits to participating faculty members through encouraging interdepartmental and intercollegiate program development, permitting a more effective presentation of programs for faculty and student recruiting and promoting more effective competition for extramural funding.

BACKGROUND: Existing Centers, Institutes, Programs and Facilities in higher education are characterized by considerable diversity. They differ not only in the nature of their authorization, but in size, from a small instrumentation area within an individual faculty member's research laboratory to dedicated buildings with fully developed professional and clerical staffs. The budgetary support for the differing activities varies from almost nothing to several million dollars per year, and their purposes range from the conduct of limited contract- or grant-defined research to providing broadly based service functions and major research institute programs involving multiple principal investigators. Finally, the programs differ in organization, with some Units located within a single Department, while others span College boundaries and include Agency faculty.

It is important to establish a common understanding of the organization and procedures required for the establishment and evaluation of formally recognized interdisciplinary efforts. The policy and guideline statements herein are specifically oriented toward the activities of the University of Arkansas System Division of Agriculture.

WORKING DEFINITIONS:^a

1) *Institutes* are large integrative units involving various components of the Division of Agriculture and associated organizations and Agencies. Institutes provide a mechanism to focus attention and programmatic efforts on issues that may be broader than the interests of a given administrative Unit or that may encompass overlapping interests of faculty from more than one Department. Such Institutes should enrich the entire University System and may be influential in attracting and retaining productive faculty programs, addressing special academic needs and increasing the opportunity for external support and recognition. Institutes are intercollegiate or interagency activities that are expected to involve significant participation of selected faculty and staff from several Departments, Colleges and/or Agencies.

^a Institutionalized entities such as the Institute of Statistics, Soil Testing Laboratory and Research and Extension Centers are excluded from these definitions and the intent of these policies and guidelines.

2) **Centers** are smaller interdisciplinary, collaborative efforts with a specific research and/or educational activity focus that are academically or scientifically directed by an individual faculty Director and a Steering Committee composed of participating Department Heads, CES Program Leaders and Senior Faculty. Centers will receive ongoing administrative support, including budgetary administration, through a specific Department or pre-existing administrative Unit such as a Research and Extension Center.

3) **Laboratories (or Offices) for Specific Research or Teaching Efforts** are established within an existing administrative Unit and should be used to designate unique research directions or interests that have broader applications than a single research program. These Laboratories or Offices might emphasize specific technical, service or educational activities.

4) **Programs** are oriented toward specific research or educational goals that do not involve any specific institutional support or administration. Programs will be administered by a faculty or staff member under the leadership of a specific Department or other established administrative Unit such as a Research and Extension Center.

5) Research, extension or teaching **Service Facilities** do not have a specific programmatic effort but provide specific technical services that usually involve an ongoing augmentation of service fees. Service Facilities will be administered under the direction of a specific Department or pre-existing administrative Unit such as an Experiment Station or Research and Extension Center.

6) **Interdepartmental Faculties** involve faculty members from two or more academic Departments in specifically defined disciplines that are charged with the responsibility to direct graduate studies and award university-level degrees. Although these interdepartmental programs are composed of faculty from various Departments and Colleges, there will be a designated Department through which administrative affairs will be addressed.

GUIDELINES: There are several guiding principles that provide a working perspective for potential program development.

1) **Institutes** and **Centers** will be expected ultimately to generate sufficient revenues from external sources via grants, contracts and endowments to substantially support their research or other academic operations.

2) Institutional resources (e.g., operating expenses, personnel, etc.) used to support the operation of a **Center** or **Facility** will be authorized by the Executive Committee of the Division of Agriculture (Vice President and Associate Vice Presidents for Agriculture and Associate Deans and Directors) based upon the recommendation of the Program Director and the Steering Committee of Department Heads, CES Program Leaders and Senior Faculty. Resource allocation will not be perennial, line-item distribution, but may provide start-up incentive and program development funds. Centers may develop independently of Institutes (through a Department, CES or AES), or specific **Centers** may be nested within the organization of an Institute when appropriate.

3) **Institutes, Centers, Programs** and **Facilities** will not direct degree-awarding programs, a prerogative reserved for academic Departments and properly established, interdepartmental Faculties of the University. However, they may facilitate such interdisciplinary programs and should work collaboratively with appropriate Departmental or Interdepartmental Faculties in graduate student recruiting and support.

4) Since these programs may represent significant University-wide efforts, all *Centers* and *Institutes* should be formally approved by the appropriate Departments, Colleges and Agencies, as well as the Vice President for Agriculture. In addition, authorization must be sought from the University of Arkansas Board of Trustees, to insure that the purposes of the activities are consistent with the aims of the University and that they are not redundant with the goals and activities of other Units.

5) In contrast, *Programs*, *Facilities* and *Laboratories* need only obtain participatory approval and support of the appropriate Department Heads with final approval by the Executive Committee of the Division of Agriculture.

6) All designated *Institutes*, *Centers*, *Programs*, *Facilities*, *Laboratories* and *Faculties* will provide a governing document that defines specific goals, provides for three-year review and establishes a sunset clause for potential termination of each activity. This policy should define a mandatory review process that may lead to continuation, redefinition or cancellation of the activity. This governing document is expected to:

- a) specifically address the academic/research/service goals of the activity,
- b) provide a description of the proposed funding posture and goals of the activity from the initiation to the sunset evaluation.
- c) identify the administrative channels for the activity, and
- d) describe the methods proposed to evaluate progress.

7) All activities of these interdepartmental programs should conform to the state and local guidelines of the University of Arkansas System as administered by the Executive Committee of the Division of Agriculture.

8) These policies apply to all academic/research/service programs, whether they are described as *Institutes*, *Centers*, *Programs*, *Facilities*, *Laboratories*, *Faculties* or other titles.

STATEMENT OF OBJECTIVES: All collaborative efforts described under this policy statement are expected to:

- 1) Maintain the integrity and sustain the central leadership roles and responsibilities of the Departments and Units.
- 2) Establish clear reporting and programmatic development patterns that involve Departmental leadership and faculty participation.
- 3) Define the appropriate route for accessing resources and establishing financial plans that are consistent with Departmental, College and Agency goals and procedures.
- 4) Establish the nature of governing documents needed to define the purpose of the programmatic activity, establish a time-ordered set of goals and describe the responsibilities of participating faculty and staff.
- 5) Define the reporting procedures and detail the methods of evaluation for establishing the goals and expectations of the activity.

- 6) Outline the role for the Director of each activity in determining faculty appointments and providing valuative contribution to promotion, tenure and/or merit salary considerations.
- 7) Conform to the procedures for establishing Institutes, Centers, Facilities, etc.

SECTION II
ESTABLISHMENT PROCEDURES
ADMINISTRATION of INSTITUTES, CENTERS and RELATED ACTIVITIES

1. PROGRAMMATIC TITLES: These activities describe specific entities established for a programmatic purpose and should be distinguished from Extension Service and Experiment Stations and from disciplinary academic programs housed uniquely in a single Department.

INSTITUTES for Research, Teaching and/or Extension Activities

CENTERS for Research, Teaching and/or Extension

PROGRAMS of Research, Teaching and/or Extension

LABORATORIES for Research, Teaching and/or Extension

Research, Teaching and/or Extension **SERVICE FACILITIES**

a. Specific interdisciplinary activities can be formally developed in order to establish a focus for a specific research/academic effort within a Department or Unit of the Division of Agriculture or between different components of the University of Arkansas System.

b. If these activities extend outside of the University of Arkansas System, they should be designated “Regional,” “State” or “National” Centers, Programs or Institutes, as appropriate.

c. The choice of title is somewhat arbitrary; however, the following definitions are provided as a general working standard:

1) ***An INSTITUTE for Research, Teaching and/or Extension Activities*** is an interdisciplinary unit that involves both staffing and technical services that potentially impact a number of research, teaching and extension programs. While these programs share a common interdisciplinary interest such as food sciences, they have varying technological concerns or disciplinary emphases such as food chemistry vs. food policy development.

2) ***A CENTER for Research, Teaching and/or Extension*** is an interdisciplinary programmatic effort that is integrated into the activities of several Departments and administered through the auspices of a single Department, CES or AES. Nonetheless, a Center usually will involve faculty from several Departments and may set unique goals that may differ from those of any one Department in certain areas.

3) ***A PROGRAM of Research, Teaching and/or Extension*** is a faculty-driven activity that is not institutionalized. The purpose of such programs is to provide a common focus for multiple-faculty research, teaching or extension activities, enhance granting efforts, improve student recruiting, etc.

4) ***A LABORATORY for Research, Teaching and/or Extension*** has a unique research capability that is deserving of special identification. This activity may involve specialized instrumentation with collaborative research potential. It is not intended to function as a service facility; however, its capabilities are unique. Such activities are administered through a specific Department.

5) ***A Research, Teaching and/or Extension Service FACILITY*** provides specific research or testing capabilities that are established and supported, in part or completely, as an institutional program to provide technological services. Fees will usually be assessed for these services, but the service facilities may or may not be totally self-sufficient.

6) ***Teaching, Research and/or Extension FACULTIES*** are created to facilitate focus upon a specific subject-matter area; e.g. “Genetics Faculty” or “Plant Science Faculty,” across disciplines. FACULTY may be viewed as similar to a PROGRAM but is highly formalized or institutionalized.

2. **ESTABLISHMENT:** The establishment of these collaborative activities can be initiated by the College or Agency administration, a Department, CES, AES or by an ad hoc committee of interested scientists. The following stages provide a generalized model for developing and evaluating these Units.

- a. An appropriate thematic title should be selected.
- b. An initial Planning Committee should be formed to establish a set of goals, evaluate the current programmatic strengths and identify potential participants in the program. The committee should represent the breadth of potential research or educational interests of the faculty participants and include all potentially involved Department Heads.
- c. A preliminary proposal should be developed to delineate the goals and clearly define the purpose for the proposed activity. The proposal should be approximately 2-3 pages of text, include a list of interested participants and explain the potential value and/or scientific need of the program. Any major resource requirements or potential needs should be clearly identified.
- d. The preliminary proposal should be presented to the Executive Committee of the Division of Agriculture. The Departmental administrative support must be clearly defined.
- e. The Executive Committee of the Division of Agriculture will evaluate the preliminary proposal, and a favorable response will result in a request for development of an operating plan.
- f. The operating plan will be developed by the participating scientists, Department Heads and Extension Section Leaders. This plan should include provisions for nominating a Director, 2-3 page CV's for all participants, a brief evaluation of the role of each of the faculty, a list of programmatic goals for the first three years at least and a schedule for evaluation of progress. Budgetary requests (if appropriate) should include regressive budgetary requirements for later years due to expected grants or fee income. In addition, there should be a sunset clause that provides for review at the end of three years.

g. The operating plan should be developed by the senior faculty in concert with the Heads of participating Departments so that any requests for financial support and faculty involvement are clarified at the very beginning. These considerations should include space requirement, programmatic scheduling, commitment to faculty involvement, etc.

h. The operating plan should be presented to the Executive Committee of the Division of Agriculture with the understanding that the timing of the response will vary with the complexity of the issues involved.

i. It is important to provide an adequate amount of time and support for the development of these programs; however, it is equally important to define a set of expectations relative to their completion/termination. A thoughtful set of goals and evaluative procedures (user group or external audit) needs to be defined for each research Unit or faculty.

3. **ADMINISTRATION:** With the exception of *INSTITUTES*, each of these programmatic activities or facilities will be administratively supported through an existing Department or Agency Center of the Division of Agriculture. The scientific and academic direction of the activity will be provided by a specific faculty Director and an administrative Steering Committee. The goals of the activity should serve to augment the goals of the participating Departments and Agency Centers in order to develop the cooperation required for such activities to have any real value. The Department or Unit Heads must be significant advocates for the activity from initial planning through rewarding the ongoing participation of faculty.

a. The administrative Department or Unit through which a *Laboratory, Program, Facility* or *Center* Director reports is responsible for the ongoing administrative support of the activity, including budget management, in compliance with University regulations. The College of Agricultural, Food and Life Sciences, Experiment Station and/or Extension Service is responsible for support of *Faculties*. Activities of a Faculty are organized by the Chair; the Faculty Chair is approved by the Executive Committee of the Division of Agriculture.

b. The Steering Committee of the activity is to be composed of senior faculty and Department Heads aligned with the activity. The Steering Committee will aid the Director in defining the mission of the Unit, establishing policy for operations and conducting periodic reviews.

c. The Steering Committee of the activity is responsible for the periodic review of the goals, objectives and achievements of the activity as well as participation in the planning and programmatic development.

d. Requests for related academic curricular development or modification should flow through the appropriate academic Unit, Department or Graduate Faculty, to the Office of the Dean to the Vice Chancellor for Academic Affairs following normal academic channels.

e. Programmatic funds administered by the Department or any other office on behalf of a *Center* cannot be used without prior arrangement and consent of the Director. The funding considerations for *Laboratories, Programs* or *Facilities* are an integral component of the administering Unit, and available funds should be distributed appropriately for the task. Funding considerations for *Faculties* are management responsibilities of the College of Agricultural, Food and Life Sciences, Experiment

Station and/or Extension Service.

f. The Director, or Chair in the case of Faculties, and the Steering Committee are responsible for organizing the sunset reviews that are required of each **Center**, **Laboratory**, **Facility** or **Faculty** every three years.

g. The Director of the activity shall programmatically report to an assigned administrator within the Division of Agriculture. The Director represents the specific mission of the Unit to the administrator, other university interests and external funding and client groups. The Director is responsible for guiding and assisting the participating faculty in responding to the mission and goals as authorized for the Unit. This includes strategic planning, budgeting, support services and relationships with funding Agencies, firms or individuals. The Director will provide leadership in preparing interdisciplinary proposals and will cooperate with the Steering Committee in determining faculty membership. The Director is responsible for maintaining relationships with the Departments from which participating faculty are drawn and communicating annual assessments of each faculty member's contributions to the Head of their administrative Unit. Since Department Head and/or Section Leader participation and approval of faculty involvement is required for these activities, appropriate recognition for involvement is expected in promotion, tenure and merit salary decisions.

h. External advisors may be helpful in strategic planning, identification of funding opportunities and technology transfer; however, the formation of such a panel is optional. Recommendations for external advisors should be reviewed by the primary College or Agency administrator before an invitation is extended by the activity Director. Time-limited term appointments with a renewal provision are recommended to ensure an active advisory group.

i. The technical and instrumental support functions that may be dedicated to an activity, including personnel, shall be under the supervision of the Director. Some activities may be more efficient by pooling specific support functions with other **Centers**, **Programs**, **Laboratories**, **Facilities** or administrative Units.

j. Eligibility for faculty membership shall be based on criteria developed by the Steering Committee of the activity and must be consistent with criteria defined by the policies of the College, University and related Agencies. Requests for faculty participation must be approved by the appropriate Unit Head. Time-limited membership, with renewal based on contributions to the activity should be defined. The term *Faculty*, as used in these guidelines, includes all individuals recognized as **Faculty** by the Board of Trustees of the University of Arkansas System.

k. The Executive Committee of the Division of Agriculture shall provide administrative coordination among the **Centers**, **Programs**, **Laboratories** and **Facilities** within the Division.

l. Proposals for letterhead, brochures or other media productions to be used for promoting various activities should be reviewed in advance and approved by the Executive Committee of the Division of Agriculture, who will be responsible for assuring compliance with other regulations and policies.

SECTION III ADMINISTRATIVE AND RESOURCE CONSIDERATIONS FOR INSTITUTES, CENTERS, FACILITIES AND FACULTIES

The following guidelines are intended to provide additional understanding about the policy for administration of interdisciplinary institutes, centers, facilities and faculties.

INSTITUTES

DIRECTOR

Responsibilities

- Solicits and maintains faculty membership with concurrence of Department and Unit Heads.
- Develops and periodically updates strategic plan for achieving Institute objectives.
- Represents the Institute to higher administration and external interests for resource and programmatic development.
- Coordinates preparation of proposals.
- Allocates start-up funds with advice of Steering Committee and Center Directors, where appropriate.
- Manages operating funds allocated to Institute, with advice of Steering Committee.
- Arranges for brochures, newsletters or other communication aids.
- Supervises any support personnel assigned to the Institute.
- Coordinates the actions of Centers and Center Directors that are associated with the Institute.
- Provides input on faculty selection and periodic evaluation to Department Head(s)/Section Leader(s).
- Maintains supportive relationship with Division of Agriculture and Deans of participating Colleges.
- Provides leadership for periodic reviews.

Selection Process and Terms of Office

The Steering Committee for an Institute will recommend candidates for Director to the Executive Committee of the Division of Agriculture as part of the proposal to establish an Institute. The Director will hold faculty status in an appropriate Department and should have a demonstrated record of leadership in interdisciplinary programs, including resource development, and a broad understanding of the subject mission of the Institute.

The individual's performance will be evaluated annually by the senior administrator to which he/she reports.

Supervision

- Reports to appropriate individual at Dean/Associate Vice President level.
- Incorporates input from Steering Committee and Technical Committee.
- Responsible to home Department or Unit for personal research and education program.

DEPARTMENT HEAD, SECTION LEADER OR CENTER DIRECTOR

Responsibilities

- Serves on Steering Committee.
- Facilitates faculty identification, development, evaluation and recommendations for personnel action.
- Approves and encourages faculty participation in Institute and provides usual Departmental support functions and resources for participating faculty.
- Administers educational programs for graduate students that are participating in the Institute, unless program designed as an intercollegiate facility.
- Reviews and approves all proposals to internal or external sources that involve faculty from his/her respective Department.
- Shares in distribution of indirect cost returns generated by his/her faculty's participation in Institute proposals.
- Administrative Department Head/Section Leader.
 - Provides space for Director and operations support for resources administered by Director.
 - Evaluates personal research or education program of Institute Director in Department. Incorporates input from Director's administrative supervisor into annual evaluation and salary recommendations.

CENTERS

DIRECTOR

Responsibilities

- Solicits and maintains faculty membership, with concurrence of Department Heads.
- Develops and periodically updates strategic plan for achieving Center objectives.
- Represents the Center internally and externally.
- Coordinates development of proposals.
- Allocates start-up funds, with advice of Steering Committee.
- Manages operating funds, with advice of Steering Committee.
- Arranges for brochures or other communications materials.
- Supervises any support personnel assigned to the Center.
- Provides input to Department Head/Section Leader on selection and evaluation of participating faculty.
- Maintains supportive relationship with Heads of participating Departments/Section Leaders.
- Provides leadership for periodic reviews.

Selection Process and Terms of Office

The Steering Committee for a Center will recommend candidates for Director to the Executive Committee of the Division of Agriculture as part of the proposal to establish the Center. The Director will hold faculty status in an appropriate Department and should have a demonstrated record of leadership in interdisciplinary programs, including resource development, and a broad understanding of the subject mission of the Center.

The individual's performance as Center Director will be reviewed annually by the Institute Director, the Head of the administering Department or the appropriate Section Leader in consultation with the Steering Committee.

Supervision

- Reports to Institute Director or Department Head/Section Leader that is administratively responsible for Center.
- Incorporates input from Steering Committee and Technical Committee.
- Is responsible to home Department Head/Section Leader for personal research and/or education programs.

DEPARTMENT HEAD, SECTION LEADER OR CENTER DIRECTOR

Responsibilities

- Serves on Steering Committee.
- Facilitates faculty identification, development and evaluation.
- Administers graduate programs for graduate students that are participating in the Center.
- Reviews and approves all proposals that involve faculty from his/her Department/Unit.
- Shares in distribution of indirect cost returns generated by faculty participation in Center proposals.
- Administrative Department Head/Section Leader.
 - Provides space for conduct of Center operations.
 - Provides administrative support services to Center.

FACILITIES

DIRECTOR

Responsibilities

- Solicits and maintains faculty membership with concurrence of Department and Unit Heads.
- Develops and periodically updates plan for achieving facility objectives.
- Coordinates preparation of proposals.
- Manages operating funds allocated to the Facility with advice of the steering committee.
- Supervises support personnel assigned to the Facility.
- Maintains supportive relationship with Division of Agriculture and Deans of participating Colleges.
- Provides leadership for periodic reviews.
- Others as may be defined by the Executive Committee as related to the specific Facility.

Selection Process and Terms of Office

The Steering Committee for a Facility will recommend candidates for Director to the Executive Committee of the Division of Agriculture as part of the proposal to establish a Facility. The Director should have demonstrated leadership in Facility development and management, including resource development, and a broad understanding of the subject mission of the Facility.

The individual's performance will be evaluated annually by the senior administrator to which he/she reports.

Supervision

- Reports to appropriate individual at Dean/Associate Vice President level.

- Incorporates input from Steering Committee and Technical Committee.
- Responsible to home Department or Unit for personal research and education program.

DEPARTMENT HEAD, SECTION LEADER, OR CENTER DIRECTOR

Responsibilities

- Serves on Steering Committee
- Faculty identification, development, evaluation and recommendations for personnel action.
- Reviews and approves all proposals to internal or external sources that involve faculty from his/her respective Department.
- Shares in distribution of indirect cost returns generated by his/her faculty's participation in Facility proposals.

FACULTIES

CHAIR

Responsibilities

- Solicits and maintains faculty membership with concurrence of Department and Unit Heads.
- Develops and periodically updates plan for achieving faculty objectives.
- Coordinates preparation of proposals.
- Manages operating funds allocated to the Faculty with advice of the steering committee and the faculty membership.
- Maintains supportive relationship with Division of Agriculture and Deans of participating Colleges.
- Provides leadership for periodic reviews.
- Others as may be defined by the Executive Committee as related to the specific Faculty.

Selection Process and Terms of Office

The Steering Committee for a Faculty will recommend candidates for Director to the Executive Committee of the Division of Agriculture as part of the proposal to establish a Faculty. The Director should have demonstrated leadership in the subject-matter area(s) spanned by the Faculty and a broad understanding of the subject mission of the Faculty.

The individual's performance will be evaluated annually by the senior administrator to which he/she reports.

Supervision

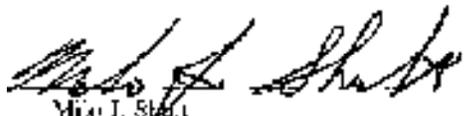
- Reports to appropriate individual at Dean/Associate Vice President level.
- Incorporates input from Steering Committee.
- Responsible to home Department or Unit for personal research and education program.

DEPARTMENT HEAD, SECTION LEADER, OR CENTER DIRECTOR

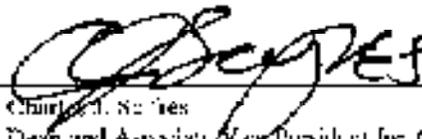
Responsibilities

- Serves on Steering Committee
- Faculty identification, development, evaluation and recommendations for personnel action.
- Reviews and approves all proposals to internal or external sources that involve faculty from his/her respective Department.
- Shares in distribution of indirect cost returns generated by his/her faculty's participation in Faculty proposals.

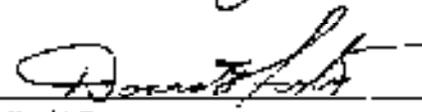
Approval


Miro I. Stani
Vice President for Agriculture

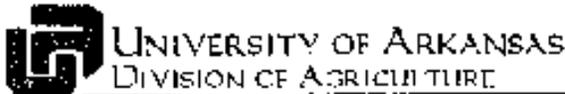
10.12.94
Date


Charles J. Seales
Dean and Associate Vice President for Agriculture - Research

10.12.94
Date


David Foster
Associate Vice President for Agriculture - Extension

10.28.94
Date



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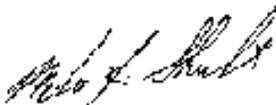
Charles J. Scifres
Associate Vice President
for Agriculture - Research

David C. Foeter
Associate Vice President
for Agriculture - Extension

MEMORANDUM

March 17, 1995

To: Unit Heads

From: Milo J. Shult 
Vice President for Agriculture

RE: Agricultural Development Council (ADC) Guidelines

Enclosed for inclusion in the Policy and Management Guidelines manual are guidelines for the Agricultural Development Council. Please read these policies carefully as appropriate procedures and expenditures have been defined.

It will be your responsibility to be sure that all appropriate persons within your unit who work with ADC materials have a copy of these guidelines available. Problematic transactions for payment or deposit (i.e., payment authorization or deposit forms insufficiently completed, totals not in agreement, additional copies needed, etc.) received after April 15, 1995 will be returned, further postponing the processing of the transaction.

The appendices consist of blank forms which are to be retained as originals and are to be copied for use. As these forms have been specially formatted to meet the requirements of the University of Arkansas Foundation, Inc. and the Agricultural Development Council, please do not alter these forms.

Any specific questions relating to these guidelines may be directed to the Agricultural Development Council office located in Fayetteville, (501) 575-4546 or (501) 575-2251.

MJS/wju

The University of Arkansas is an equal opportunity/affirmative action institution.