

Academic Affairs Policy #1

Academic Institutes and Centers

Date of Current Revision: April 2017

Responsible Office: Vice Provost for Research and Scholarship

1. PURPOSE

This policy provides guidelines for the establishment, renewal and termination of chartered academic institutes and centers (AICs) at James Madison University.

2. AUTHORITY

The Board of Visitors is given the authority to establish policies for the university. This power is delegated to the President in areas in which the Board has not established policy. The establishment of policies and procedures concerning the Division of Academic Affairs has been delegated by the President to the Provost and Senior Vice President for Academic Affairs (Provost).

3. DEFINITIONS

Academic Unit Head (AUH)

An academic department head or functional equivalent.

Academic Institute or Center (AIC)

An administrative, organizational and/or budgetary unit existing within the Division of Academic Affairs of the university. Depending on its focus and breadth, an AIC may exist at the college or academic unit level. An AIC at the college or academic unit level will report to the dean or academic unit head, respectively. An AIC may also be established within an administrative unit in Academic Affairs and report to the responsible vice provost. The AIC may be staffed by faculty members, staff members and/or students, working together to achieve the research, instructional and outreach goals of the AIC.

Charter

A charter is an official recognition given by the university to an AIC upon approval of its formation or of its continuation. An AIC must hold a charter to be formally recognized by the university.

4. APPLICABILITY

This policy applies to all AICs within the university, regardless of name or title, but it does not apply to institutes or centers established by divisions of the university other than the Division of Academic Affairs. It also does not apply to university funded, continuing administrative units within the Division of Academic Affairs.

5. POLICY

- 5.1 AICs serve as a method of organizing complex academic activities of faculty, staff and students from backgrounds in different disciplines to work on common projects and opportunities. They may be called institutes, centers, laboratories, consortia or have other titles, but their function is to provide for a unified coordinated approach to the work of the university through interdisciplinary efforts of the faculty, staff and students who serve and staff them.
- 5.2 AICs function to conduct research, facilitate outreach to the community and coordinate learning opportunities for faculty, staff and students that are not otherwise available within the academic units and colleges of the university. AICs do not admit students. An AIC may propose courses to be housed in traditional academic units within the university, including but not limited to cross-listed courses, and if no appropriate academic

unit exists for the courses, the AIC may be approved through the Office of the Vice Provost for Academic Development to offer courses of its own. Approval of such courses must then follow official university procedures.

- 5.3 No new AIC may be recognized, chartered or otherwise established by any individual or group within the Academic Affairs Division at the university except through the procedures outlined in this policy. Any attempt by any group or individual within the university to establish an AIC at the university without following these procedures shall be null and void, and shall not subject the university to any responsibility for such purported unit of the university. Additionally, any unauthorized attempt to establish or claim university affiliation with an AIC may subject the individual to sanctions.
- 5.4 Only a chartered AIC may receive funding, assigned space, reassigned time for faculty or staff or any other support for its activities through the university. Only a chartered AIC may use the university's name and resources to support its mission and objectives.
- 5.5 The university may deny or remove a charter without prior notice from any AIC for any reason, including but not limited to denial or removal of a charter from an AIC that fails to follow the university's policies and procedures, state or federal law.
- 5.6 No individual or group within the university has any legitimate expectation that an AIC charter will be granted or will be continued. The decision to charter all AICs rests with the Provost, as well as the decision to remove or deny a charter for any reason.
- 5.6 An AIC must support academic unit, college, division and university priorities. The university allows for the formation of such AICs, depending on available support for such units. Any AIC that does not support academic unit, college and university priorities will have its charter removed without prior notice.
- 5.7 A chartered AIC must identify itself as a part of the university and must ensure that all external and internal information concerning the AIC is current and correct. Charters may be revoked for the dissemination of inaccurate, non-current or inappropriate information.
- 5.8 A chartered AIC and all individuals associated with the AIC must conform to all university policies and procedures, including but not limited to fiscal management regulations. All funds received by an AIC must be deposited within university accounts and are subject to the university's rules and regulations. Such funds must be disbursed according to the established policies of the university. Signatory authority for the operations of the AIC shall be developed in accordance with university policy.

6. PROCEDURES

6.0 Pre-proposal authorization

The Office of the Vice Provost for Research and Scholarship (VPRS) is available for consultation concerning the requirements and procedures for a proposed new AIC. Individuals proposing a new AIC should contact the appropriate administrative offices to obtain approval before filing a proposal for a new AIC. If all appropriate levels of administration are agreed that the proposed new AIC fits the mission of the academic unit, college and university, the proposal may go forward. Additionally, the necessary level of monetary and other support should be agreed upon by all levels before the proposal for charter is filed, along with the potential sources of that support.

Approval to go forward with a proposal is not a guarantee of the issuance of a charter for a proposed AIC.

Before any private funding for the proposed AIC may be raised, the individuals proposing the new AIC must have the approval of University Advancement under the terms of policy 5101. University Advancement staff will review the proposal and analyze the feasibility and needs for the proposal, and they will report directly to the VPRS on its analysis. The VPRS will take the report of University Advancement into account in its consideration of the application for a charter.

6.1. Proposal for New AIC

Because a new AIC creates demand for additional resources, oversight, reporting and review, and it may require the commitment of duties for faculty and staff members and students, there must be a written justification for establishing a new AIC using the AIC Charter Request form.

Not all AICs that are proposed will be chartered. An AIC that is denied a charter may be proposed in subsequent academic years.

Four criteria must be met for any new AIC to be chartered:

- § There must be an articulated need for the AIC that does not duplicate the mission of an existing academic unit, college or other administrative structure at the university;
- § The AIC must support university priorities;
- § The AIC must have appropriate funding, either in hand or proposed, and a proposal for funding which does not materialize in a timely manner shall result in revocation of a provisional charter; and
- § The AIC must have appropriate staffing, either through faculty members, staff members or students, to perform the work of the unit in the areas of research, instruction and outreach opportunities requiring an interdisciplinary approach. Such staffing must be arranged and approved by the appropriate AUHs and other appropriate offices in advance.

6.1.1 The request shall include the following components:

- § The name of the AIC.
- § The mission and objectives of the AIC.
- § The names or functional description of the faculty and staff members, students, and any others to be involved in the work of the AIC, and any reassignment of effort necessary to accomplish the work of the AIC, along with the appropriate approvals from AUHs and others necessary to agree to such reassigned time.
- § The administrative structure of the AIC, including the reporting relationships, any governance issues, and any proposed Advisory Boards (required for AICs housed at the university level).
- § Sources of funding for the AIC, including in-hand funds, committed funds, and proposed funds, and their sources (NOTE: Only a provisional charter will be granted unless sufficient funds are in hand).
- § The university support needs of the proposed AIC, including General Education requirements, any proposed undergraduate or graduate courses to be offered by the AIC or an academic unit, any international experiences, library and other substantial support needed from the university, space needs, information technology support needs, etc.
- § A proposal for the appointment of a Director of the AIC, including the qualifications of such individual.
- § The positive impact the AIC is anticipated to have on the department, the college, the university, higher education and/or the community.

6.2 Approval of New AIC

A formal request to create an AIC using the AIC Charter Request form shall be generated by the faculty or staff member wishing to form the AIC. The approval process includes the following steps:

- § The request shall be sent to the appropriate administrative office through which the AIC will report (i.e., AUH, dean or vice provost). The administrative office receiving the request shall review the request, and if appropriate, shall forward it to the next level of administration. If all appropriate administrative levels approve of the request, it shall be forwarded to the Office of the Vice Provost for Research and Scholarship.
- § The Office of the Vice Provost for Research and Scholarship shall review the request for the appropriateness of the proposal and the overall benefit to the university. For each application, the VPRS

shall make a recommendation to the Provost on whether the AIC should receive a charter (or a provisional charter, in the situation where the funding is not in hand).

- § After review by the Vice Provost of Research and Scholarship, the proposal charter shall be submitted to the Faculty Concerns Committee of the Faculty Senate by the Office of the Provost for presentation at the next Faculty Senate meeting. Any comments from the Faculty Senate should be submitted in writing to the chair of the Faculty Concerns Committee within two weeks of the presentation. These comments and recommendations from the Faculty Concerns Committee and/or the Faculty Senate shall be submitted in writing to the Office of the Provost.
- § Only the Provost has the authority to charter an AIC. All such charters shall be in writing and signed by the Provost.

6.3 Length of charter

Charters are effective for a specified length of time, which shall be stated on the document. The maximum amount of time for a charter is five years, at the end of which the AIC must apply for renewal of the charter to continue to operate and receive support from the university.

6.4 Renewal of a charter

Criteria and the approval mechanism for continuation of a charter shall be those found in sections above, with the additional inclusion of information concerning any effect on the academic unit, the college, the division, the university, the public, the faculty, staff, students and members of the public should the AIC not receive a continuation of its charter. The application for renewal must also include a description of the activities since its last charter, fiscal viability and sources for continuation of resources in the future (business plan), goals for the future and justification for continuation of the AIC.

6.5 Reassigned time

Reassigned time for instructional faculty members working for an AIC must be designated and approved by the academic unit holding the faculty member's primary assignment, with the approval of the dean and Provost. Reassigned time for staff members requires the approval of the supervisor and appropriate administrative officers up to the level of the dean or vice provost. Reassigned time from normal duties is authorized only for official university or state business, and it must be reflected on the Faculty Anticipated Activity Plan for instructional faculty members and on the Employee Work Profile for staff members.

6.6 Removal of charter

A charter for an AIC may be removed or revoked at any time and for any reason by action of the Provost. Notice of the removal or revocation of the charter will be sent by the Provost or his or her designee to the Director of the AIC, with copies to the appropriate administrative individuals within the university.

6.7 Naming of an AIC

The AIC is a part of the university, and the university maintains control over the ability to name the AIC. Approval for the name of the AIC is a part of the approval process. No AIC may adopt a name or change its name without prior approval of the Provost. Identification of any office, group or unit as a "Center" or "Institute" must be approved under these procedures, unless special permission is granted by the Provost to an existing or proposed administrative office. Generally, an institute is housed at the university level, but a center may be at the university, college or academic unit level.

6.8 Change in mission, administrative structure or designation of AIC

An AIC that has been chartered may apply to change its name, its mission, its administrative structure, or any other significant component of its existence by submitting a new charter application to the appropriate administrative offices listed in 6.2 above. Until such charter is reissued, the AIC is not authorized to make the proposed changes.

6.9 Application for a charter

Proposers must complete the AIC Charter Request form. The form is available from the Academic Affairs Policy Web site: <http://www.jmu.edu/acadaffairs/policies.shtml>.

The form is available in PDF and Word formats. Forms should be saved from the Web site to a local server by the proposer to ensure no data is lost while completing the forms. Forms must be submitted electronically to the Office of Research and Scholarship.

7. RESPONSIBILITIES

Director

The director of an AIC is responsible for the operation of the AIC in compliance with all applicable policies, procedures, rules and regulations of the university, the outside funding source, and the state and federal governments. The director has the authority to supervise those instructional faculty, staff and students assigned to the AIC, including the authority to recruit, assign duties to, evaluate the performance of and dismiss from AIC duties, in accordance with university policy and following regular university approval processes and procedures. The director is also responsible for ensuring that all external and internal information disseminated concerning the AIC is current and correct.

If the AIC has an outside advisory board, the director is responsible for communications with and coordination of the efforts of the advisory board. The director is also responsible for communications concerning the AIC with external constituents and the general public. At least annually, the director shall report on the activities of the AIC to the administrative level to whom the AIC reports (i.e., the AUH, dean or vice provost), and these annual reports must be shared with the Office of the Vice Provost for Research and Scholarship.

Academic Unit Head

The academic unit head is responsible for the oversight of the administration of a center housed within the academic unit, including reviewing financial and administrative functions of the academic unit centers within the academic unit. The AUH is also responsible for reviewing all proposals for the establishment of a new AIC within the academic unit, for appointment and supervision of the director of an AIC within the academic unit, and for considering requests for reassigned time of the unit's instructional faculty for work in an AIC either within or outside of the academic unit. The AUH is responsible for evaluating faculty members in his or her academic unit even if a faculty member has a portion of his or her time reassigned to work in an AIC outside of the academic unit. For purposes of the evaluation of the faculty member's performance, the AUH should take into consideration the input of the director of the AIC for this portion of the faculty member's evaluation. If the faculty member is the director of the AIC, the AUH should take into consideration the input of the person to whom the director reports in his or her AIC duties.

Dean

The dean is responsible for the oversight of the administration of an AIC housed within the college, including reviewing financial and administrative functions of the college centers within the college. The dean is also responsible for reviewing all proposals for the establishment of a new AIC within the academic units or the college, for appointment and supervision of the director of an AIC housed within the college and for approving requests for reassigned time within the college of the instructional faculty for work in an AIC, in conjunction with the appropriate AUHs to whom the faculty members receiving reassigned time report.

Vice Provost

The vice provost is responsible for the oversight of the administration of an AIC housed within the vice provost's area of authority, including reviewing financial and administrative functions of the AICs within the area. The vice provost is responsible for appointment and supervision of the director of an AIC reporting directly to the vice provost and for reviewing and approving requests for reassigned time for faculty members within the area of the vice provost, in conjunction with the appropriate AUHs and deans to whom the faculty members receiving reassigned time report.

Vice Provost for Research and Scholarship

The Vice Provost for Research and Scholarship is responsible for reviewing all proposals for the establishment of a new AIC and for making recommendations to the Provost on such proposals. The VPRS or his/her designee will work cooperatively with the appropriate vice provost, dean and/or AUH in providing the oversight of the administration of an AIC, including reviewing financial and administrative functions of the AICs at the university level. The VPRS or his/her designee is also responsible for appointment and supervision of the director of an AIC housed at the university level and for monitoring instructional faculty reassigned time to university level AICs. The VPRS or his or her designee will work with the appropriate AUHs, deans and vice provosts in this process when working with faculty who are on split appointments and/or reassignments. The VPRS or his/her designee will consult on the issue of reassigned time for faculty members in AICs with the deans and AUHs to whom the faculty members report.

Provost

The Provost is responsible for determining whether a charter will be issued for a new AIC, for granting renewals of charters and for revoking the charter of an AIC when appropriate.

8. SANCTIONS

Employees who fail to follow this policy are subject to appropriate disciplinary action.

9. EXCLUSIONS

This policy does not apply to any center in any division other than the Division of Academic Affairs.

Within Academic Affairs, this policy does not apply to any institute or center which:

- Grants degrees.
- Is part of an entity agreement or Memorandum of Understanding with an external organization which controls funding for the institute or center.
- Is a university funded, continuing administrative unit within the Division of Academic Affairs, such as the Center for Assessment and Research Studies, Center for Faculty Innovation, Center for Global Engagement, etc.

10. Interpretation

The authority to interpret this policy rests with the Provost and is generally delegated to the Vice Provost for Research and Scholarship.

Approved:

A. Jerry Benson
Provost and Senior Vice President for Academic Affairs

Date: April 19, 2017

Previous Versions:
A. Jerry Benson
Provost and Senior Vice President for Academic Affairs

Date: March 30, 2015

Douglas Brown
Provost and Senior Vice President for Academic Affairs

Date: Sept. 23, 2009