TO: University Stakeholders  
FROM: Office of Academic Affairs  
DATE: September 29, 2017  
RE: APSs Under Review Relating to Changes to Article and Policy 4

BACKGROUND
The Board of Regents approved recommended changes to Regent Law (Article 4) and Policy (Policy 4) concerning the Organization of the Academic Units on June 15, 2017. However, these changes will not become effective until associated changes can be made to the following systemwide administrative policy statements (APS). The proposed effective date for these would be January 1, 2018.

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<th>Proposed Action</th>
<th>APS Number-Title</th>
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<tr>
<td>Rescind</td>
<td>1023-Restricted, Proprietary and Classified Research</td>
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<tr>
<td>Revise</td>
<td>1008-Procedures for the Establishment of Institutes <em>(Formerly Procedures for the Establishment of Centers, Institutes, Laboratories and Bureaus)</em></td>
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<tr>
<td>Revise</td>
<td>1019-Degree Program Review <em>(Formerly Implementation of Regent Policy on Program Review)</em></td>
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<tr>
<td>Revise</td>
<td>1026-Roles and Responsibilities of Department Chairs</td>
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<tr>
<td>New</td>
<td>1038-New Degree Program Approval</td>
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<td>1040-Gainful Employment Certificate Approval</td>
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<td>1041-Approval of Academic Units</td>
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PLEASE NOTE
The attached draft APS may include references to Regent laws and/or policies which are “approved but not yet effective”. To view these, go to: [https://www.cu.edu/doc/article-4-policy-4-draftpdf](https://www.cu.edu/doc/article-4-policy-4-draftpdf)
I. INTRODUCTION

The University of Colorado has a wide variety of centers, institutes, laboratories, and bureaus. These entities may be single- or multi-disciplinary in scope and generally combine education, research and creative work, and leadership and service activities, including patient care. Research institutes represent a valuable resource that expands opportunities for student learning and for faculty research and leadership and service. The purpose of this administrative policy statement is to set forth policies and guidelines for the establishment and approval of these entities, if necessary, for renaming or closure of institutes, if appropriate, as determined by campus administrations. These policies do not apply to campus administrative units that provide support services to faculty and students (such as a "Media Center" or a "Counseling Center"), but rather to those units that are engaged more directly in instruction, research and creative work, and/or leadership and service.

Consistent with Regent Law and Policy, prior versions of this APS required changes in this APS in Board of Regents approval to establish an institute. Changes to Regent Law and Policy effective January 1, 2018 eliminated this requirement and this APS has been revised accordingly.

II. POLICY STATEMENT

A. Approval of New Organizations
   
   1. Approval authority for a new institute resides with the campus chancellor.
   
   2. Campuses shall have processes for the approval of new institutes. The process shall require faculty members proposing to create a new institute, center, laboratory, or bureau shall first develop a program plan.
The program plan shall describe the purpose and proposed administrative and fiscal structure of the organization and follow the general format provided in Attachment A.

3. The program plan shall be reviewed and approved by the appropriate campus or multi-campus administrative officers prior to submission to the approval authority for review and approval. Additionally, an assessment of potential university liabilities by the campus legal counsel must accompany the request for initial approval.

2.4. The Board of Regents shall be informed when a new institute is approved.

a. Units, whether they be an institute, center, laboratory or bureau, that are organized within departments, institutes, schools/colleges or between schools/colleges on the same campus must be recommended by the appropriate dean(s)/director and approved by the campus chancellor. An inventory of these units shall be maintained by the provost’s office on each campus and be reported annually to the Vice President for Academic Affairs.

b. Units, whether they be institutes or centers, that are organized as cooperative programs between campuses must be recommended by the appropriate chancellors and approved by the president.

c. All institutes must be approved by the president and by the Board of Regents, as must all centers, laboratories and bureaus that include formal affiliation agreements with extramural agencies or organizations.

3. Approval for each new unit shall be for an initial period of five to seven years within the context of a normally scheduled program review of the parent unit. At the end of this initial period, review and/or reauthorization for centers, laboratories, and bureaus may take place in accordance with the normally scheduled program review of the parent unit, which occurs once every five to seven years. In the case of institutes, review and reauthorization shall occur on a schedule to be determined by the designated officer, not to exceed every seven years. Subsequent review and reauthorizations shall occur on a schedule to be determined by the parent unit, not to exceed every seven years.

4. Revenue and expenditure budgets for centers, institutes, laboratories and bureaus shall be reviewed by the campus budget officer prior to submission for approval. For multi-campus units, this review shall be conducted by the budget officer on each campus involved. The financial integrity of the unit is the responsibility of the officer of the relevant parent unit (e.g., department head, dean, provost, chancellor, etc.). All budgetary deficits shall be eliminated by the end of each fiscal year. All proposals for new units shall identify an individual who is responsible for the oversight of the unit's budget. Any unit requiring an annual budget of $2 million or more shall designate an individual within its organizational structure whose responsibility is the management of the unit's financial operations.

B. Institute Name Changes

1. Institute name changes shall be approved by the chancellor.

B.C. Reauthorization of Organizations

1. Review criteria for reauthorization shall include, but not be limited to: 1) success in the accomplishment of the unit's role and mission and its specific goals; 2) maintenance of fiscal solvency; and 3) the unit's support of the mission of its parent unit (department, school, campus, etc.). Additional criteria may be required by the campus parent units. The campus chancellor shall have the authority to approve the closure of an institute. The Board of Regents will be notified of any such decision.

C. Reauthorization Approval

1. Authority for reauthorization of centers, laboratories and bureaus rests with the campus chancellor.

2. Reauthorization of institutes, cooperative programs between campuses, and centers, laboratories and bureaus that include formal affiliation agreements with extramural agencies or organizations shall be approved by the chancellor, unless there have been significant changes in the mission, formal affiliation agreement, or financial obligations, in which case the reauthorization must be approved by the president.
III. OTHER PROVISIONS

INSTITUTE OPERATIONS

A. Faculty at various ranks (including adjoint faculty and other special faculty such as research associates) may participate in the activities of institutes, centers, laboratories and bureaus in accordance with the by-laws of the organization. Regular tenure-track faculty members hold their appointment in their primary unit. In accordance with regent policy, non-tenure-track faculty (specialty track, adjoint, adjunct, research faculty, etc.) are on limited or indeterminate appointments based upon available funding and satisfactory performance.

B. Written documentation of the fiscal control provisions (i.e., accounting procedures, use of general funds, terms and conditions of expenditure and authorization, agreements for indirect cost recovery, etc.) shall be required for each organization institute.

C. Each institute and unit that includes a formal affiliation agreement with an extramural organizations shall be subject to separate, periodic program review. Centers, laboratories and bureaus may be reviewed in the context of the sponsoring department or other academic or research unit.

D. Campus units may request a change in designation for existing institutes, centers, laboratories and bureaus based on new definitions. Such requests shall include a rationale for the proposed change in designation and will be reviewed and approved by the appropriate approval authority as if it were a newly created organization. Name changes shall be approved by the Board of Regents. Name changes involving all other organizations shall be approved by the chancellor.

E. In accordance with Regent Policy 2-K, the chancellor (by presidential delegation) approves any appointment of directors and other chief administrative officers of institutes, units that are organized between campuses, or units that include formal affiliation agreements with extramural organizations.

F. Individual campuses may develop additional procedures for the establishment, administration, and governance of centers, institutes, laboratories and bureaus. Such additional procedures shall be consistent with the guidelines of the administrative policy statement. Nothing in these guidelines precludes the discontinuing of institutes, centers, laboratories or bureaus at any time at the discretion of the campus chancellor.

IV. DEFINITIONS

A. INSTITUTES - An institute is defined as a single or multi-disciplinary unit that is organized to conduct education, for the primary purpose of research and creative work, and/or leadership and service activities. The mentoring of students within the research and creative work is an important goal of institutes. Likewise, providing public and professional leadership and service related to the fields of the institute is expected. Such entities, Institutes are characterized by organizational permanency, programmatic autonomy, a broad program of study, and an annual operating budget that is fiscally independent of other academic units. They are expected to have substantial external funding (typically over $1 million/year), commitments for associated faculty lines, evidence of long-term sustainability, a program of research training, and substantial infrastructure. Faculty and research/teaching staff in institutes usually participate in interdisciplinary graduate/undergraduate education programs. Institutes report to the campus chief academic officer or their designee and go through rigorous program review similar to that for academic departments.

B. CENTERS - A center is defined as a single or multi-disciplinary unit that is organized to conduct education, research and creative work, and/or leadership and service activities. Such entities are characterized by less programmatic autonomy and less independence relative to institutes. Centers are typically organized around the investigation of a fairly specific theme, issue, project, or policy topic but often encompass interdisciplinary work spanning a number of academic fields. The lifetime of a center is often limited by the time and financial commitment to completing the particular project. Centers typically reside in departments, institutes, and/or colleges and report to department chairs, institute directors, or academic deans.

C. LABORATORIES AND BUREAUS - Laboratories and bureaus are defined as single or multi-disciplinary entities whose primary functions are research and/or leadership and service. Laboratories and bureaus typically reside in departments and/or colleges and report to department chairs or academic deans.
FORMAL AFFILIATION AGREEMENTS. Formal affiliation agreements are defined as contractual arrangements between a unit of the university and an extramural agency or organization for the purpose of joint activities toward mutual objectives. Such agreements may include, but not be limited to, shared facilities and/or equipment, joint personnel appointments, joint budgetary contributions, and cooperative administrative structures. Mere receipt of extramural funding from outside agencies (federal or otherwise) in the form of grants is excluded from this definition. In addition, agreements between the university and industrial affiliates, associates, sponsors or similar entities involving intellectual property rights shall not be included in the definition of formal affiliation agreements.

V. HISTORY

Initial policy effective February 28, 1984
Revised July 1, 1993
Revised July 1, 1999
Revised October 1, 2006
Revised February 1, 2012
The term “service” was replaced with the term “leadership and service” effective April 30, 2014, per resolution of the CU Board of Regents.
Revised July 11, 2016
Revised January 1, 2018. modified based on changes to Regent Policy effective January 1, 2018 (Pending)
Attachment A
Program Plan Format for Centers, Institutes, Laboratories and Bureaus

1. Statement of general purpose of the unit
   Disciplines typically involved
   Areas of research and leadership and service

2. Statement of congruence with role and mission of:
   Campus
   Parent unit (department, school/college)

3. Description of institutional capability for implementing the unit

4. Description of administrative structure of the unit and reporting relationships (including fiscal officer)

5. By-laws of the unit
   Membership procedures, rights, privileges and responsibilities
   Governance
   Appointment of director
   Provisions for changing by-laws

6. Resource implications (business plan)
   5 year revenue estimate and source of funds
   5 year expenditure budget
   5 year cash flow