



UNIVERSITY OF HAWAI'I

PRESIDENT, UNIVERSITY OF HAWAI'I
AND CHANCELLOR, UNIVERSITY OF HAWAI'I AT MĀNOA

August 15, 2000

EXECUTIVE MEMORANDUM NO. 00-7

TO: Senior Vice President and Executive Vice Chancellor
Senior Vice Presidents and Chancellors
Senior Vice Presidents
Vice Presidents
Chancellor
Secretary of the Board of Regents
State Director for Career and Technical Education

SUBJECT: NEW EXECUTIVE POLICY: E5.215 ESTABLISHMENT AND REVIEW OF CENTERS

I am hereby officially promulgating a new Executive Policy E5.215 "Establishment and Review of Centers." It will also be posted on the World Wide Web.

This policy sets procedures for establishing or discontinuing centers, institutes, offices and similar entities which carry out instructional, research, public service, or administrative functions. For centers that do not require Board of Regents approval, this policy delegates approval authority and permits further redelegation to maximize the flexibility of the University in responding to internal and external needs and opportunities. The policy also contains review and record keeping requirements.

Please ensure that this policy is disseminated appropriately within your units. Your support and assistance in seeing that this policy is followed will be appreciated.

Kenneth P. Mortimer
President, University of Hawai'i, and
Chancellor, University of Hawai'i at Mānoa

Enclosure

UNIVERSITY OF HAWAI'I

EXECUTIVE POLICY - ADMINISTRATION

July 2000

Page 1 of 5

E5.215 Establishment and Review of Centers

I. INTRODUCTION

The University of Hawai'i has evolved numerous institutes, centers, offices, non-instructional programs and similar entities. Their purposes and characteristics vary considerably, ranging from small "letterhead" groups that give identity to an interdisciplinary purpose to large enterprises that involve major staffing and space commitments. In order to define centers and provide a consistent structure for their approval and review, this policy is established to implement Board of Regents Bylaws and Policies, Section 5-1f.

For the remainder of this document, the term "center" will be used as shorthand to designate these entities.

II. POLICY STATEMENTS

A. **Definition.** Centers are umbrella organizational entities that focus efforts, usually multi-disciplinary in nature, to meet special needs or deal with current issues. Often centers serve as focal points to emphasize a strategic thrust of a college, school, or department.

Centers covered by this policy operate at an organizational level below that of a school or college. This policy does not apply to the establishment of organized research units (see E5.213), University Centers for distance education (see E5.204), or academic programs involving conferral of academic credentials (see E5.201), all of which are governed by other Board of Regents' policies.

B. **Types of centers.** Based on their primary purpose, centers fall into one of the following general categories.

1. **Instruction or research** centers have as a major focus activities related to the instruction of students or the conduct of research.

2. **Public service** centers have as a major focus patient care or activities related to the dissemination of information or the provision of service to the community.
3. **Administrative** service centers have as a major focus provision of student or institutional support services designed to carry out the administration and management of campuses and/or the system as a whole.

- C. **Authorization to Establish Centers.** As established in Board of Regents' policy section 5-1f, instructional, research, administrative or public service centers require Board of Regents approval when: (1) the center requires significant current or future commitments of institutional funding, personnel or physical resources, a substantive change in program mission, and/or involve major institutional liability; (2) the proposed center involves Board or Presidential agreements with external governmental or private entities; or (3) the proposed center involves an honorific name in the designation of the center.

Authorization for centers that do not meet the above criteria is delegated to each Senior Vice President, Vice President, Chancellor, System-wide Director, and the State Director for Career and Technical Education within their respective units or offices. This authorization may be further delegated.

All centers affiliated with or operating under the auspices of the University of Hawai'i are subject to the authorization requirements of this policy. Centers that house permanent positions may also be subject to the requirements of Administrative Procedures A3.101 University of Hawai'i Organizational and Functional Changes.

- D. **Authorization to Discontinue Centers.** Those centers established by the Board of Regents may be discontinued only by action of the Board of Regents. Other centers may be discontinued at the level at which they are approved. Centers that appear on an organizational chart must follow the procedures of Administrative Policy A3.101.

III. PROCEDURES FOR APPROVAL AND REVIEW

- A. **Proposal Requirements.** Proposals to establish centers include the following information. Senior Vice Presidents, Vice Presidents, the Chancellor, Systemwide Directors and the State Director for Career and Technical Education may add other requirements as needed within their units or offices.
1. **Name of center.** A center is assigned a functional name that clearly conveys the center's focus to the University's internal and external constituents. Proposals to name centers in honor of individuals, groups, or entities require the approval of the President and the Board of Regents.
 2. **Purpose.** The proposal must include a clearly defined purpose for the center directly related to the instructional, research and/or service mission of the University of Hawai'i and of the campus and college or department in which it is to reside. It will also include a discussion of the anticipated activities of the center.
 3. **Organization and administrative structure.** The proposal must include a description of the proposed administrative structure, identifying leadership and reporting responsibilities and the center's organizational relationship within or to existing departments, schools, and colleges. For interdisciplinary units, the description includes the expectations of and agreements among the cooperating departments, schools, and colleges.
 4. **Resources.** The proposal includes an explanation of resources required by the center, including a budget and staffing to achieve its purpose. It includes the source and number of personnel, space, and operating and other resources required. It discusses the extent of current UH resource commitments and the prospects for the continuation of UH funding and/or external funding. The proposal will normally include an estimated annual budget plan, including anticipated federal, state and/or private funds.

A center shall require Board approval if current or future commitments of institutional resources: (a) are significant enough to require inclusion of a specific request in the Regents' biennium or supplemental budgets; or (b) involve a reallocation of resources so extensive that Board action is required to terminate the program(s) from which those resources are to be drawn.

5. **Administration of grants.** The proposal will address, as appropriate, the process to be used to assign or share credit for extramural funding between the center and the primary investigator's department.
6. **Consultation.** Those seeking to establish a new center must consult with all other departments or units of the University of Hawai'i that have functions that overlap or might be impacted by the center, or that have interests in common with the center's purposes. Collaboration is encouraged wherever possible. The proposal includes information on the extensiveness and results of this consultation.

B. Approval Process.

1. **Internal Procedures.** Requests to establish centers follow internal approval processes as established within the units or offices of the University. The Senior Vice President/Executive Vice Chancellor for M~noa, the Senior Vice Presidents/Chancellors for Hilo and the Community Colleges, and the Chancellor for West O'ahu are responsible for ensuring that the approval process for new centers within their respective Units, whether or not re-delegated to a lower administrative level, includes, as appropriate, review by deans, directors, and faculty governance bodies. Other executives named in this document are responsible for consultation with other offices impacted by the proposed center.
2. **Liability.** The approval and review processes will consider liability issues. The approving authority is responsible for ensuring adequate liability safeguards. Where major liability may be an issue, the proposal must be discussed with the Senior Vice President for Legal Affairs (or designee) who will make the determination regarding the need for BOR approval.
3. **Union Consultation.** The approving authority is responsible for consultation with unions whose members may be impacted by changes in duties or supervisory/subordinate relationships.

4. **Formal Reorganization.** If a center is staffed in whole or in part by permanent University positions, a request for reorganization must also be submitted if required by the provisions of Administrative Policy A3.101. The approving authority is responsible for ensuring compliance with this policy.
5. **Board of Regents' Approval.** Proposals to establish a center that require Board of Regents' approval are forwarded with a recommendation to the President.

C. **Record Keeping and Review Requirements.**

1. **Record Keeping.** Executives to whom approving authority is delegated in this policy shall maintain an inventory of centers within their units or offices. They shall provide an annual report to the President listing centers established and abolished within the year, as well as ongoing centers. The President will provide an annual report to the Board of Regents of centers established, continuing and discontinued.
2. **Periodic review.** All instructional and research centers are subject to review on the same multi-year schedule as academic programs. A primary purpose of this review is to determine if the center should be continued. The President or delegated approving authority may call for a special review of any center as circumstances require.
3. **Abolition of Centers.** Requests to abolish centers approved by the Board of Regents shall include the reason for discontinuation and address any relevant impacts upon University personnel and the center's clients or students. They are transmitted to the President with a recommendation for action by the Board.
4. **Applicability of this policy to existing centers.** Existing centers are subject to the requirements and review provisions of this policy.