




MEMORANDUM

TO: CUNY Presidents and Provosts

FROM: José Luis Cruz, Executive Vice Chancellor & University Provost 

CC: Félix V. Matos Rodríguez, Chancellor

SUBJECT: Implementation of the Amended Board of Trustees Policy 1.09 (Guidelines for Centers, Institutes, Consortia and Special Programs)

DATE: April 8, 2021

Context

During the full Board meeting on December 14, 2020, the CUNY Board of Trustees approved amended Policy 1.09 – Guidelines for Centers, Institutes, Consortia and Special Programs (see enclosed policy document). The new policy includes amendments that ensure that centers, institutes, and consortia ultimately support the core mission of CUNY colleges and the University.

The amended policy states that centers, institutes, and consortia must:

- Enrich and support the core mission of the University
- Aim to become fiscally self-sufficient through external fundraising;
- Develop funding plans that specify how the entity will aim to sustain its activities and operations;
- Create parameters that limit the duration and extent that it relies on tax-levy funding, when provided;
- Enforce term limits for directors (additional terms can be requested by a letter from the campus President explaining the rationale for the request)
- Make annual reports publicly available
- Be evaluated every five years

The amended policy also states that:

- The Office of Academic Affairs will review proposals for centers, institutes, and consortia and make recommendations to the Committee on Academic Policy, Programs, & Research (CAPPR) on the approval or disapproval of the proposed entity.

These policy amendments aim to improve the quality, reputation, and sustainability of Centers, Institutes, Consortia and Special Programs by designing a collaborative approval process, promoting fiscal health and accountability, and adopting an evidence-based approach to their assessment and evaluation.

Next Steps

Regarding new centers, institutes, and consortia – To ensure compliance with the newly amended policy, the Office of Academic Affairs will use the enclosed rubrics to assess new proposals for centers, institutes, and consortia before advancing them to the Board of Trustees Committee on Policy, Programs, and Research (CAPPR).

Regarding existing centers, institutes, and consortia – The City University of New York is implementing a recertification process that aims to ensure that all existing centers, institutes, and consortia are in compliance with the amended policy by Fall 2023. During the recertification process, existing centers, institutes, and consortia will be asked to:

- Justify the recertification of the center, institute, or consortium by:
 - Describing the local, regional, or national significance of the contributions that the entity is intended to make
 - Describing any relationships to existing centers and institutes at the University and within the City and State of New York
 - Providing assurances that the entity does not duplicate, substantially overlap, or subsume the mission of existing programs at CUNY
- Provide a strategic plan for the entity that includes:
 - A mission statement that supports the core mission of CUNY
 - A detailed description of the scope of activities
 - A sampling of recently prepared annual reports, and a commitment to making annual reports publicly available moving forward
 - A detailed assessment plan to evaluate the entity every five years
 - Acknowledgement that tax-levy funding, if provided, will be limited in duration and extent, and information about how the entity will aim to sustain its activities and operations through external fundraising
- Provide a staffing plan for the center, institute, or consortium that includes:
 - An organizational chart
 - Curriculum vitae of proposed staff members
 - A succession plan including specification and enforcement of term limits

Starting immediately, unless Colleges have independently initiated recertification processes that will enable them to assess the viability of existing entities based on the amended Policy 1.09 within the proposed timeline, College Presidents will work with their Chief Academic Officers to design and implement local processes that will enable them to:

- (1) Identify the entities that require recertification, providing this list to the Office of the Executive Vice Chancellor and University Provost, by December 31, 2021. We expect that all entities that fall within the definitions covered by the guidelines, regardless of whether they were established after the original 1995 Policy 1.09, will require recertification. The Office of Academic Affairs is available to work with individual colleges to generate a complete list of centers, institutes, and consortia that require recertification.
- (2) Collect relevant materials (see the list above) from said entities by December 31, 2022. Colleges can determine what level of support they would like to provide to existing entities as they produce/compile the requested materials.

- (3) Engage in a local consultation process during the review and assessment of the materials provided by existing centers, institutes, or consortia (colleges are welcome to adapt the enclosed rubrics in order to support these assessments). After making a preliminary determination about the viability, governance, and/or mandates of the centers, institutes, or consortia under consideration, presidents will communicate their intention to recommend recertification or decertification to said entities. Centers, institutes, or consortia slated for decertification will have 30 days to submit a formal request for reconsideration to the president, who will then make a final determination. More guidelines on these local assessment and appeals processes will be forthcoming.
- (4) Submit recertification recommendations (via an attestation form that will be forthcoming) to the Office of the Executive Vice Chancellor and University Provost by July 15, 2023. Supporting materials for centers, institutes, and consortia recommended for recertification should be uploaded into a central repository for recertified entities created by the Office of Academic Affairs. Supporting materials for centers, institutes, and consortia recommended for decertification should be uploaded into a separate repository for decertified entities created by the Office of Academic Affairs. More information about the process for organizing and uploading these materials will be forthcoming.

The Chancellor will review the recommendations submitted by college presidents, and all entities requiring recertification will be notified of their official status by the Office of Academic Affairs on or about August 31, 2023.

Centers, institutes, and consortia that have been recertified will continue operating beyond Fall 2023.

Entities that have not been recertified have a right to appeal the decision by submitting a formal request for reconsideration to the Office of the Executive Vice Chancellor & University Provost. The Chancellor will review the supporting materials previously provided by the college president as part of the recommendation process and make a final decision. Information about how decertified centers, institutes, and consortia will wind down operations will be forthcoming.

Please note that the enclosed document listing Frequently Asked Questions is a living document. Periodic updates will be disseminated as we collectively navigate through this process.

POLICY GUIDELINES FOR CENTERS, INSTITUTES, CONSORTIA, AND SPECIAL INITIATIVES AT THE CITY UNIVERSITY OF NEW YORK

In The City University of New York (the "University") -- as in most institutions of higher education -- the normal locus for instruction and research is the academic department. Additional instruction, including continuing education programs and experiential learning, can be delivered through centers, institutes, consortia, and special initiatives. These organizations play an important role in the University's endeavors by meeting needs which fall outside the customary domains of academic departments. Since these organized research, instruction, and training initiatives do not operate under the established rules and regulations which govern departments, it is desirable and even necessary to set policy guidelines to provide for their orderly administration.

Centers, institutes, consortia, and special initiatives should supplement, not supplant, activities of academic and administrative departments. They may offer more opportunities for organized research for the benefit of faculty, students, and communities surrounding the colleges. Consequently, these entities are prohibited from duplicating functions of, or exercising routine prerogatives of, academic and administrative departments. In particular, they are not to be viewed as alternate routes to faculty appointments.

Specifically, centers, institutes, consortia, and special initiatives and the attendant personnel are explicitly debarred from: (1) offering regular courses, (2) conferring degrees, (3) appointing faculty members through their agency alone or without adequate faculty consultation, and (4) conferring tenure or providing certificates of continuous employment.

Organized research, training and instruction, and service units are expected to operate with substantial external support to advance the mission of the University beyond what is possible to accomplish through the basic institutional budget. While tax-levy support, direct or indirect, for centers, institutes, consortia and special initiatives is not prohibited, it should be viewed as an aid to developing external support, when available, and never as a guarantee. If available and provided, tax-levy support from the University is usually, but not always, limited in duration and extent.

Centers, institutes, consortia, and other special initiatives carry out their diverse missions in a multitude of ways. Funding comes from the federal, State, and City governments, and private foundations.

Recognizing that the terms "center" and "institute" are used by many inside and outside the University to denote a variety of entities, this policy distinguishes between the title by which an entity is known and its designation by the college and/or the University, as the case may be, pursuant to this policy. For the purposes of this policy, a center is a single-campus entity and institutes and consortia are multi-campus entities. A center is subject to the direct authority of the president of its host college. Institutes and consortia are subject to the direct authority of the Chancellor, although each consortium is administered by an advisory board. As part of the University, all centers, institutes and consortia are subject to the ultimate authority of the Board of Trustees.

A center, institute, consortium, or a special initiative of the University is an organizational entity other than an academic, continuing education, or administrative department, conducting research, instruction, training, service, or other activity which -- by its nature, methods of operation, or sources of funding -- requires recognition as an entity outside regular structures. The purposes of centers, institutes, consortia and special initiatives may be described as follows:

- **Research:** Centers, institutes, and consortia are vehicles for interdisciplinary research, thematic research that unites sub-disciplines within an academic discipline, or special projects of limited duration.
- **Training and Instruction:** Groups whose educations do not fall within the academic curriculum or continuing education programs of the University and are not applicable towards a degree can be brought together in campus-based centers or University-wide institutes that offer non-credit instruction that is more narrowly focused or of shorter duration than the customary curriculum.
- **Service to the Surrounding Community:** It is appropriate for the University or a campus to offer non-instructional services to the outside community, including government, based on its expertise in academic disciplines.

Regardless of its actual title or name, each such entity must be formally designated as one of the mutually exclusive types described in Section 1 of this policy and follow all approval, financing, and accountability requirements, for that designation. The Office of Academic Affairs will maintain a current list of all approved entities with their formal designation and will make this list publicly available via a central web-based repository.

1. Definitions

Centers

A center is an organized unit of a single college of the University whose mission is to sponsor, coordinate, and promote research, training, instruction, and/or service, in order to enrich and support the core mission of the college. Centers shall not duplicate or substantially compete with the mission of University-wide institutes, consortia, or special initiatives.

Institutes

An institute is an organized unit of the University staffed, supported, and governed by multiple colleges of the University, and/or the central office, under the leadership of a primary college and/or the central office, whose mission is (i) to sponsor, coordinate, and promote research, training, instruction, and/or service and (ii) to enhance by collaboration the University's strength in specific areas, in order to enrich and support the core mission of the University. New institutes shall not duplicate, substantially overlap with, or subsume the mission of existing institutes, consortia, or special initiatives.

Consortia

A consortium is an organized unit of the University formed by several colleges, institutes and/or centers, whose mission is to coordinate the efforts of its individual components and in which no single component leads. New consortia shall not duplicate, substantially overlap, or subsume the mission of existing institutes, consortia, or special initiatives.

Special Initiatives

Occasionally, the University has a special opportunity or is specially requested to serve the City, State, or nation in projects which do not fall within any of the above categories. The University may then initiate an activity it hopes will grow into a center or institute or which may remain limited in duration and scope. Such projects are called University special initiatives, and -- while their form and function cannot be fully anticipated in sufficient detail to provide specific regulations for their conduct -- by recognizing the possibility of these endeavors in this policy the Board of Trustees of the University indicates, in general terms, its support of special initiatives and affirms the legitimacy of their role in University affairs.

2. Approval Processes

Centers

A proposal to create a new center at a college requires approval at the college and University levels. Each college shall follow any applicable local approval process for creation of new centers consistent with its established governance plan. The process should include a recommendation from the college governance body.

At the University level, the process will consist of the following elements:

- a) The participating colleges shall provide to the Office of Academic Affairs a proposal that incorporates:
 - i. A strategic plan for the proposed center that includes:
 - A mission statement
 - A plan of operations
 - An assessment plan
 - A funding plan that specifies how the center will sustain its activities and operations

- ii. A justification for the creation of the center — including local, regional, and national significance of the contributions the center is intended to make — as well as its relationship, if any, to existing centers and institutes at the University and within the City and State of New York
 - iii. Assurance that the center does not duplicate, substantially overlap, or subsume the mission of existing centers, institutes, consortia, or special initiatives except when the explicit purpose of establishing the center is to replace existing structures
 - iv. A staffing plan for the center, with which the college president formally concurs, that includes an organizational chart, curriculum vitae of proposed staff members, and letters of endorsement from individuals and organizations outside the University. Directors will be appointed for five-year terms, except that directors who are subject to annual reappointments in their underlying CUNY job title and are not reappointed in that title will no longer serve as directors upon their separation from employment. Unless directly specified by college governance rules, directors of centers will serve a maximum of two five-year terms. Additional five-year terms may be requested by a letter from the college president explaining the rationale for the request. All directors should be evaluated every three years with respect to their service as director, but shall also be subject to the applicable evaluation provisions of the PSC/CUNY collective bargaining agreement.
- b) The Office of Academic Affairs will review the proposal and make recommendations to the Committee on Academic Policy, Programs, & Research (CAPPR) on the approval or disapproval of the proposed center

Institutes

A proposal to create a new institute at the University requires approvals at the college and University levels. Participating colleges will determine the process by which individual college approval is conferred, but the process should include approval of the college's governance bodies and substantial consultation with faculty.

At the University level, the process will consist of the following elements:

- a) The participating colleges shall provide to the Office of Academic Affairs a proposal that incorporates:
 - i. A strategic plan for the proposed institute that includes:
 - Designation of a primary college and the basis for participation by other campuses, as well as the structure of any advisory board and/or steering committee. (Some institutes may be dual reporting entities, reporting both to the college president where the institute is located and to the Chancellor.)
 - A mission statement
 - A plan of operations
 - An assessment plan
 - A funding plan for the institute that specifies how the institute will sustain its activities and operations
 - ii. Letters of support from all participating presidents
 - iii. A justification for the creation of the institute -- including local, regional, and national significance of the contributions the institute is intended to make -- as well as its relationship, if any, to existing centers and institutes at the University and within the City and State of New York
 - iv. Assurance that the institute does not duplicate, substantially overlap, or subsume the mission of existing centers, institutes, consortia, or special initiatives except when the explicit purpose of establishing the institute is to replace existing structures
 - v. A staffing plan, for the institute, with which the president of the primary college formally concurs, that includes an organizational chart, curriculum vitae of proposed staff members, and letters of endorsement from individuals and organizations outside the University. Directors will be appointed for terms of five years, except that directors who are subject to annual reappointments in their underlying CUNY job title and are not reappointed in that title will no longer serve as directors upon

their separation from employment. Unless directly specified by college governance rules, directors of institutes will serve a maximum of two five-year terms. Additional five-year terms may be requested by a letter from the college president explaining the rationale for the request. All directors should be evaluated every three years with respect to their service as director, but shall also be subject to the applicable evaluation provisions of the PSC/CUNY collective bargaining agreement.

- b) The Office of Academic Affairs will review the proposal and make recommendations to the Committee on Academic Policy, Programs, & Research (CAPPR) on the approval or disapproval of the proposed institute

Consortia

A proposal to establish a new consortium at the University will require approvals at the University level. The process will consist of the following elements:

- a) The participating colleges shall provide to the Office of Academic Affairs a proposal incorporating:
 - i. A strategic plan for the proposed consortium that includes:
 - A description of the management structure, including the membership of the advisory board
 - A mission statement
 - A plan of operations
 - An assessment plan
 - A funding plan for the consortium that specified how the consortium will sustain its activities and operations
 - ii. Letters of support from the presidents of all participating colleges
 - iii. A justification for the establishment of the consortium -- including local, regional, and national significance of the contributions the consortium is intended to make -- as well as its relationship to existing institutes and centers at the University and within the City and State of New York
 - iv. Assurance that the proposed consortium does not duplicate, substantially overlap, or subsume the mission of an existing institute, consortium, or special initiative
 - v. A staffing plan for the consortium, with which the presidents of the participating colleges formally concur, that includes an organizational chart, curriculum vitae of proposed staff members, and letters of endorsement from individuals and organizations outside the University. Directors will be appointed for terms of five years, except that directors who are subject to annual reappointments in their underlying CUNY job title and are not reappointed in that title will no longer serve as directors upon their separation from employment. Unless directly specified by college governance rules, directors of consortia will serve a maximum of two five-year terms. Additional five-year terms may be requested by a letter from the college presidents explaining the rationale for the request. All directors should be evaluated every three years with respect to their service as director, but shall also be subject to the applicable evaluation provisions of the PSC/CUNY collective bargaining agreement.
- b) The Office of Academic Affairs will review the proposal and make recommendations to the Committee on Academic Policy, Programs, & Research (CAPPR) on the approval or disapproval of the proposed consortium.

Special Initiatives

Since the exact form of special initiatives cannot be anticipated, it shall be left to the Chancellor to bring them to the attention of the Board of Trustees in a manner appropriate to their structure, function, and financial requirements. However, since the structure of special initiatives is not specified in advance, it is important that special care be taken to ensure that special initiatives adhere strictly to the limitations made explicit in this policy.

3. Financial and Other Matters

3.1 Financing

Centers

Centers, as college-based entities, will generally be funded through a combination of external sponsored program funds and college-based support. It is University policy that direct or indirect tax-levy support for centers should be limited in extent and duration so that it does not constitute a burden on the instructional budget of colleges. While occasional central tax-levy support for college-based centers is allowed, as a rule, colleges should expect to support centers within their own budgets, from sponsored programs, and with external fundraising where appropriate. Centers shall also hire staff through the college's established hiring processes for faculty and staff and enforce term limits (a maximum of two five-year terms) for directors.

Institutes and Consortia

Given the anticipated scale of their operations and the magnitude of institutional commitments they carry, institutes and consortia are appropriate loci for major investments of tax-levy monies. The University expects that institutions and consortia will aim to become fiscally self-sufficient through external fundraising and that tax-levy support, when provided, will be limited in duration and extent and over time matched by substantial amounts of non-tax-levy monies. Proposals for the creation of new institutes or consortia shall include in their documentation a fiscal plan indicating the need for matching funds and a timetable for attaining all funding goals.

3.2 University Policies

As part of the University, all centers, institutes and consortia and their staff are subject to the policies and procedures of the University, and the colleges as applicable, including without limitation the University's policies on naming, procurement, property management, use of computer resources, sexual misconduct, workplace violence, and contract signing authority.

3.3 Fundraising

Centers, institutes and consortia are expected and encouraged to seek sources of non-tax-levy funds. Consistent with the University's Foundation Guidelines, these entities should work with their affiliated college foundations when seeking donations and other general program support from individuals and entities, rather than setting up a separate fundraising entity.

3.4 Sponsored Programs and Grants

As with academic departments and other parts of the University, the Research Foundation of The City University of New York shall administer research grants and sponsored project funding for centers, institutes and consortia.

4 Accountability

4.1 Centers, Institutes and Consortia

At the end of each fiscal year, the colleges (for centers and institutes), and advisory boards (for consortia), shall make publicly available via the colleges' websites and a central online repository created by the Office of Academic Affairs, for informational purposes, a report from each center, institute, and consortium. The report shall contain:

- a) The mission of the center, institute, or consortium
- b) The college president's attestation of the continuing value of the center or institute, or the attestation of the consortium's advisory board of the continuing value of the consortium, and the role of the center, institute, or consortium in enriching and supporting the core mission of the college or the University
- c) The director's statement of the center's, institute's or consortium's current progress toward meeting the

goals stated in the strategic plan

- d) The center's, institute's or consortium's staffing plan, with which the participating college presidents formally concur, and a report regarding the status of directors, given their term limits
- e) A description of current and projected activities
- f) A current and projected budget including individual project budgets, a tax-levy budget showing expenditures of these funds, a chart indicating the sources of staff and faculty salaries, and a plan that specifies how the center, institute, or consortium will aim to sustain its activities and operations

If, on the basis of the published report, questions arise concerning the viability, governance, or mandate of a specific center, institute, or consortium, the Office of the Executive Vice Chancellor for Academic Affairs will seek clarification from the president of the appropriate college (for centers or institutes) or the advisory board (for consortia).

4.2 Special Initiatives

The Chancellor shall from time to time as deemed appropriate or at the request of the Board of Trustees report to the Board on the status and progress of special initiatives.

5. Evaluation

Centers, institutes and consortia shall be evaluated every five years. The University will assess the success of the center, institute or consortium in meeting its stated goals, including the effectiveness of the entity, if appropriate, as a University-wide entity. The college presidents, regarding centers and institutes at their colleges, and the advisory boards of consortia, shall coordinate the evaluation process per the entity's existing assessment plan. The evaluation shall include a self-evaluation report and a report by at least two outside evaluators along with a summary of financial support and investments and progress toward fiscal self-sufficiency, which shall be given substantial weight in the evaluation. Continuation of University-level support of an institute or consortium will be dependent on successful achievement and reasonable progress toward an appropriate level of non-tax-levy support. Evaluation reports shall be submitted to the Office of the Executive Vice Chancellor for Academic Affairs, which shall prepare a summary of the evaluations and submit it to the Chancellor for review and appropriate action.

[Board of Trustees Meeting – December 14, 2020]

POLICY GUIDELINES FOR CENTERS, INSTITUTES, CONSORTIA, AND SPECIAL INITIATIVES AT THE CITY UNIVERSITY OF NEW YORK

Frequently Asked Questions

QUALIFYING ENTITIES & DEFINITIONS

How do colleges determine which centers, institutes, and consortia need to be formally recertified by Fall 2023?

All entities that fall within the definitions covered by the guidelines, regardless of whether they were established after the original 1995 Policy 1.09 was in effect, should complete the recertification process unless they are exempted for some particular reason.

Per the amended policy: “Recognizing that the terms ‘center’ and ‘institute’ are used by many inside and outside the University to denote a variety of entities, this policy distinguishes between the title by which an entity is known and its designation by the college and/or the University, as the case may be, pursuant to this policy. For the purposes of this policy, a center is a single-campus entity and institutes and consortia are multi-campus entities. A center is subject to the direct authority of the president of its host college. Institutes and consortia are subject to the direct authority of the Chancellor, although each consortium is administered by an advisory board. As part of the University, all centers, institutes and consortia are subject to the ultimate authority of the Board of Trustees.

A center, institute, consortium, or a special initiative of the University is an organizational entity **other than an academic, continuing education, or administrative department, conducting research, instruction, training, service, or other activity** which -- by its nature, methods of operation, or sources of funding -- requires recognition as an entity outside regular structures. The purposes of centers, institutes, consortia and special initiatives may be described as follows:

Research: Centers, institutes, and consortia are vehicles for interdisciplinary research, thematic research that unites sub-disciplines within an academic discipline, or special projects of limited duration.

Training and Instruction: Groups whose educations do not fall within the academic curriculum or continuing education programs of the University and are not applicable towards a degree can be brought together in campus-based centers or University-wide institutes that offer non-credit instruction that is more narrowly focused or of shorter duration than the customary curriculum.

Service to the Surrounding Community: It is appropriate for the University or a campus to offer non-instructional services to the outside community, including government, based on its expertise in academic disciplines.”

Entities that are called “centers” within colleges and that provide teaching & learning support, ESL instruction, etc., are not required to go through this recertification process.

How does the policy officially define a center?

Per the amended policy: “A center is an organized unit of a single college of the University whose mission is to sponsor, coordinate, and promote research, training, instruction, and/or service, in order to enrich and support the core mission of the college. Centers shall not duplicate or substantially compete

with the mission of University-wide institutes, consortia, or special initiatives.”

How does the policy officially define an institute?

Per the amended policy: “An institute is an organized unit of the University staffed, supported, and governed by multiple colleges of the University, and/or the central office, under the leadership of a primary college and/or the central office, whose mission is (i) to sponsor, coordinate, and promote research, training, instruction, and/or service and (ii) to enhance by collaboration the University's strength in specific areas, in order to enrich and support the core mission of the University. New institutes shall not duplicate, substantially overlap with, or subsume the mission of existing institutes, consortia, or special initiatives.”

How does the policy officially define a consortium?

Per the amended policy: “A consortium is an organized unit of the University formed by several colleges, institutes and/or centers, whose mission is to coordinate the efforts of its individual components and in which no single component leads. New consortia shall not duplicate, substantially overlap, or subsume the mission of existing institutes, consortia, or special initiatives.” A consortium is a collaborative initiative involving multiple University units and/or intra-University structures, and, unlike an institute, without a single lead school.

What are the implications of this amended policy for entities established before 1995, when the original Policy 1.09 was established? What if specific entities are uncertain about their exact founding date, whether they were formally approved by the Board, and whether they should be recertified?

All entities that fall within the definitions covered by the guidelines, regardless of whether they were established after the original 1995 Policy 1.09 was in effect or formally approved by the Board at all, should complete the recertification process unless they are exempted for some particular reason. The Office of Academic Affairs is available to work with individual colleges to generate a complete list of centers, institutes, and consortia that require recertification.

GENERAL RECERTIFICATION PROCESS QUESTIONS

Should colleges that have already initiated recertification processes for centers, institutes, or consortia pause activities or begin again per the recertification steps outlined in the memo?

No. Colleges that have independently initiated recertification processes that will enable them to assess the viability of existing entities based on the amended Policy 1.09 within the proposed timeline should proceed.

What documents are colleges expected to review and ultimately submit via the central repository in order to justify their recertification or decertification recommendations?

College leaders may use their discretion when making this determination. However, the spirit of the amended policy is such that every effort should be made during this process to ensure that centers, institutes, and consortia submit documentation that adequately:

- Justifies the recertification of the center, institute, or consortium by:
 - Describing the local, regional, or national significance of the contributions that the entity is intended to make
 - Describing any relationships to existing centers and institutes at the University and within the City and State of New York
 - Providing assurances that the entity does not duplicate, substantially overlap, or subsume the mission of existing programs at CUNY

- Provides a strategic plan for the entity that includes:
 - A mission statement that supports the core mission of CUNY
 - A detailed description of the scope of activities
 - A sampling of recently prepared annual reports, and a commitment to making annual reports publicly available moving forward
 - A detailed assessment plan to evaluate the entity every five years
 - Acknowledgement that tax-levy funding, if provided, will be limited in duration and extent, and information about how the entity will aim to sustain its activities and operations through external fundraising
- Provides a staffing plan for the center, institute, or consortium that includes:
 - An organizational chart
 - Curriculum vitae of proposed staff members
 - A succession plan including specification and enforcement of term limits

Will entities whose names do not comply with the definitions in the amended policy guidelines need to change their names upon recertification? In other words, will an “institute” that should in fact be called a “center” per the definition in the amended policy be expected to rename itself?

College leaders may use their discretion when making this determination for entities whose names do not comply with the definitions in the amended policy guidelines – especially in those cases where rebranding the entity would detract from the work. However, the spirit of the amended policy is such that every effort should be made during this process to ensure that centers, institutes, and consortia recommended for recertification are ultimately in compliance with said guidelines.

The amended policy states that entities should not duplicate, substantially overlap, or subsume the mission of existing centers, institutes, or consortia. How should college leaders approach the enforcement of this guideline for centers that have similar missions to other centers across CUNY?

College leaders may use their discretion when making this determination, and will likely expect each center seeking recertification to identify the uniquely distinct role it plays in advancing its mission within the context of the entire University (e.g., by addressing issues that may directly affect their local community).

What is the role of the founding documents that exist for entities seeking recertification?

If they are seeking recertification, centers, institutes, and consortia are expected to revisit their founding documents and revise them in order to achieve compliance with the amended policy guidelines.

What is the sunset process for entities that are recommended for decertification?

Information about how decertified centers, institutes, and consortia will wind down operations will be forthcoming.

FINANCING

What does it mean for a center, institute, or consortia to adequately “sustain its activities and operations”? Does this imply that both operational and personnel expenses should be covered by the entity? Do in-kind expenses from the college, such as release time for faculty directors, count as tax-levy support?

Self-sufficiency implies that all expenses related to the entity, both operational and personnel, are in fact not dependent on tax-levy support. College leaders may use their discretion when determining to

what degree entities are able to rely upon tax-level funding once recommended for recertification. However, the spirit of the amended policy is such that every effort should be made during this process to ensure that centers, institutes, and consortia recommended for recertification are ultimately well-positioned to achieve fiscal self-sufficiency through external fundraising and so there is an expectation that the corresponding entity have a plan to this end.

Personnel who are currently on the tax-levy payroll can remain there, so long as those costs are reimbursed by the non-tax levy entity (through a transaction called “refund of appropriation”). Regarding fringe benefits, since fringes for tax-levy personnel are covered by the University, the same applies here; if entities’ employees are supported by non-tax levy funds, then the entities need to also cover the fringes costs. College leaders may use their discretion to provide in-kind support to the centers, institutes, or consortia for such things as IT, facilities, and business office transactions.

How should college leaders approach the enforcement of amended policy guidelines regarding financing – specifically, the limited use of direct or indirect tax-levy support – for entities that have relied on tax-levy funding for many years?

College leaders may use their discretion when making this determination for entities that have relied upon non-earmarked college tax-levy funding in the past. However, the spirit of the amended policy is such that every effort should be made during this process to ensure that centers, institutes, and consortia recommended for recertification are ultimately well-positioned to achieve fiscal self-sufficiency through external fundraising and so there is an expectation that the corresponding entity have a plan to this end. If non-tax levy resources do not yet exist for particular centers, institutes, and consortia that have historically been mainly supported through tax-levy, then the college and entity are strongly encouraged to develop a multi-year plan to transition funding to non-tax levy resources.

Are college leaders permitted to use institutional resources to support entities that may not attract external investment because they are pursuing important areas of research and scholarship?

College leaders may use their discretion when determining to what degree entities are able to rely upon tax-level funding once recommended for recertification. However, the spirit of the amended policy is such that every effort should be made during this process to ensure that centers, institutes, and consortia recommended for recertification are ultimately well-positioned to achieve fiscal self-sufficiency through external fundraising and so there is an expectation that the corresponding entity have a plan to this end.

What role should the Research Foundation play for centers, institutes, and consortia?

As with academic departments and other parts of the University, the Research Foundation of The City University of New York shall administer research grants and sponsored project funding for centers, institutes and consortia.

STAFFING PLANS & TERM LIMITS

What is required for a president to exempt a director of a center, institute, or consortia of the term limits specified in the policy?

Unless directly specified by college governance rules, directors of centers, institutes, or consortia will serve a maximum of two five-year terms. Additional five-year terms may be requested by a letter from the college presidents explaining the rationale for the request.

Must the term limits for directors be calculated retroactively in the case of centers, institutes, or

consortia that are seeking recertification?

Yes, with the understanding that a mechanism exists for presidents to request a waiver provided adequate justification. Insofar as term limits are being applied retroactively, the colleges will need to find appropriate positions for any center director who has tenure or a CCAS and is not being retained as director.

Do term limits apply to both faculty and staff directors?

Yes. Directors in both faculty and HEO titles will be limited to two five-year terms; however, directors who do not have tenure or a CCAS are subject to annual reappointments in their faculty or HEO payroll title and if they are not reappointed in such title, their appointment as directors will cease upon their separation from service. Unless directly specified by college governance rules, directors will serve a maximum of two five-year terms. Additional five-year terms may be requested by a letter from the college presidents explaining the rationale for the request. All directors should be evaluated at least every three years with respect to their service as director; directors who do not have tenure or a CCAS are subject to the applicable annual evaluation provisions of the PSC-CUNY collective bargaining agreement.

Should the staffing plan for a center, institute, or consortium include faculty outside of the entity's formal team whose grants are integrated into the funding portfolio?

College leaders may use their discretion when making this determination. However, the spirit of the amended policy is such that every effort should be made during this process to ensure that centers, institutes, and consortia recommended for recertification have presented a comprehensive and cohesive picture of their staffing plan and the entity's funding and activities portfolio.

REPORTING & EVALUATION

What are the new reporting and evaluation requirements for centers, institutes, and consortia?

Centers, institutes, and consortia are expected to produce both annual reports and five-year evaluations.

ANNUAL REPORTS: At the end of each fiscal year, the colleges (for centers and institutes), and advisory boards (for consortia), shall make publicly available via the colleges' websites and a central online repository created by the Office of Academic Affairs, for informational purposes, a report from each center, institute, and consortium.

5-YEAR EVALUATIONS: Centers, institutes and consortia shall be evaluated every five years. The college presidents, regarding centers and institutes at their colleges, and the advisory boards of consortia, shall coordinate the evaluation process per the entity's existing assessment plan.

What should specifically be included in the annual reports of centers, institutes, or consortia, and how should college leaders approach organizing the review schedule?

College leaders may use their discretion regarding the required components of annual reports as well as the scheduling of their development and submission. The expectation is that annual reports will include content that addresses the following:

- The mission of the center, institute, or consortium
- The college president's attestation of the continuing value of the center or institute, or the attestation of the consortium's advisory board of the continuing value of the consortium, and the role of the center, institute, or consortium in enriching and

supporting the core mission of the college or the University

- The director's statement of the center's, institute's or consortium's current progress toward meeting the goals stated in the strategic plan
- The center's, institute's or consortium's staffing plan, with which the participating college presidents formally concur, and a report regarding the status of directors, given their term limits
- A description of current and projected activities
- A current and projected budget including individual project budgets, a tax-levy budget showing expenditures of these funds, a chart indicating the sources of staff and faculty salaries, and a plan that specifies how the center, institute, or consortium will aim to sustain its activities and operations

What should specifically be included in 5-year evaluations for centers, institutes, or consortia?

The college presidents, regarding centers and institutes at their colleges, and the advisory boards of consortia, shall coordinate the evaluation process per the entity's existing assessment plan. The evaluation shall include a self-evaluation report and a report by at least two outside evaluators along with a summary of financial support and investments and progress toward fiscal self-sufficiency, which shall be given substantial weight in the evaluation. College leaders have the discretion to select an appropriate combination of evaluators for each evaluation: whether internal and/or external, local and/or non-local.

REGARDING INSTITUTES & CONSORTIA IN PARTICULAR

Must all institutes have an advisory board to be recertified?

Per the amended policy, an institute's strategic plan must include the structure of any advisory board and/or steering committee.

Does the formal recertification or decertification recommendation for a CUNY-wide institute get submitted by the primary college or all partner colleges?

The primary college should take the lead on organizing the recertification process and formally submitting the recertification or decertification recommendation. The consultation process during which institute materials are reviewed and assessed should involve the partner colleges.

How is a consortium different from an institute?

A consortium is a collaborative initiative involving multiple University units and/or intra-University structures, and, unlike an institute, without a single lead school.

MISCELLANEOUS

What are the points of engagement between centers, institutes, and consortia and the CUNY Board of Trustees, per the amended policy?

As part of the University, all centers, institutes and consortia are subject to the ultimate authority of the Board of Trustees. The Board of Trustees Committee on Academic Policy, Programs, and Research (CAPPR) is responsible for the initial approval of the creation of new centers, institutes, and consortia. The Chancellor or Executive Vice Chancellor will provide the Board of Trustees with regular updates regarding the recertification of existing entities, and the results of their formal 5-year evaluations. Members of the Board of Trustees will also be able to access the annual reports of all entities that, per the amended policy, will be made publicly available by the colleges and the Office of Academic Affairs.



RUBRIC FOR NEW CENTER PROPOSALS

College Name:					
Center Name:					
Director Name:	PDF PAGE #	INSUFFICIENT	PARTIALLY MEETS REQUIREMENT	MEETS REQUIREMENT	COMMENTS
The proposal provides:					
i. A justification for the creation of the center that includes:					
Local, regional, or national significance of the contributions the center is intended to make					
Relationship, if any, to existing centers and institutes at the University and within the City and State of New York					
Assurance that the center does not duplicate, substantially overlap, or subsume the mission of existing programs at CUNY					
ii. A strategic plan for the proposed center that includes:					
A mission statement that supports the core mission of CUNY					
A detailed plan of scope of activities					
Indication that annual reports will be publicly available					
A detailed assessment plan to evaluate every five years					
Acknowledgement that tax-levy funding, if provided, will be limited in duration and extent					
Specifically, how the entity will aim to sustain its activities and operations through external fundraising					
iii. A staffing plan for the center that includes:					
An organizational chart					
Curriculum vitae of proposed staff members					
A succession plan including specification and enforcement of term limits					



**RUBRIC FOR
NEW INSTITUTE/CONSORTIUM PROPOSALS**

Lead College Name:					
Institute Name:					
Director Name:	PDF PAGE #	INSUFFICIENT	PARTIALLY MEETS REQUIREMENT	MEETS REQUIREMENT	COMMENTS
The proposal provides:					
i. A justification for the creation of the Institute that includes:					
Local, regional, or national significance of the contributions the Institute is intended to make					
Relationship, if any, to existing institutes and institutes at the University and within the City and State of New York					
Assurance that the Institute does not duplicate, substantially overlap, or subsume the mission of existing programs at CUNY					
ii. A strategic plan for the proposed Institute that includes:					
A mission statement that supports the core mission of CUNY					
A detailed plan of scope of activities					
Identification of CUNY partner institutions and their fiscal contributions					
Indication that annual reports will be publicly available					
Formation of an advisory board or steering committee					
A detailed assessment plan to evaluate every five years					
Acknowledgement that tax-levy funding, if provided, will be limited in duration and extent					
Specifically, how the entity will aim to sustain its activities and operations through external fundraising					
iii. A staffing plan for the Institute that includes:					
An organizational chart					
Curriculum vitae of proposed staff members					
A succession plan including specification and enforcement of term limits					