

# MANUAL FOR PROGRAM REVIEW OF CENTERS AND INSTITUTES

SOUTHERN ILLINOIS UNIVERSITY  
CARBONDALE

FAQs and FORMS

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Last Updated: June 2021

## SIU Mission

SIU embraces a unique tradition of access and opportunity, inclusive excellence, innovation in research and creativity, and outstanding teaching focused on nurturing student success. As a nationally ranked public research university and regional economic catalyst, we create and exchange knowledge to shape future leaders, improve our communities and transform lives.

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## OVERVIEW

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### INTRODUCTION

The purpose of this manual is to present policies related to program review specific to centers/institutes and to delineate the steps for those engaged in the center/institute review process.

The Higher Learning Commission (HLC) and the Illinois Board of Higher Education (IBHE) require institutions to maintain a practice of regular program (center/institute) review focused on assessment and continuous improvement. In addition, the SIU System Office provides guidelines for the evaluation and review for centers and institutes (<https://siusystem.edu/about/section24.shtml>).

In order to comply with these requirements, centers and institutes at SIUC prepare a self-study report every eight years and undergoes a peer-review. Of note, academic programs are also required to undergo a review every eight years.

The outcomes of the reviews are part of the Program Quality Assurance Report (PQAR) submitted annually to the Office of the President. A complete PQAR report for the system is submitted by the Office of the President to the Board of Trustees and IBHE. The reports are also posted on the SIU System's website (<http://siusystem.edu/academic-affairs/reports.shtml>). In addition, an annual summary of the reviews is submitted to the Faculty Senate and Graduate Council.

### GENERAL EXPECTATIONS FOR CENTERS/INSTITUTES

All centers and institutes are expected to advance one or more aspects of the university's educational, research, creative activity, and public service missions. Centers and Institutes are expected to be responsible administrative units of the university, seeking external funding while efficiently and appropriately utilizing resources. Finally, centers and institutes must be points of excellence and pride for the university, with a strong external reputation.

Some general expectations that may apply, depending upon the particular center or institute, include the following:

- Create and transfer knowledge to students and other learners
- Offer students/other learners opportunities to apply knowledge to the real world
- Support graduate and professional students
- Support undergraduate research and creative activity
- Enhance the university's external reputation
- Procure and maintain modern equipment and facilities
- Support faculty and research goals
- Increase faculty productivity
- Increase interdisciplinary interactions among faculty, students, and staff
- Engage and contribute to the welfare of the people we serve
- Link to broader programs and consortia
- Translate research findings to usable products and services for academia and/or the public
- Positively impact the economy
- Provide services to government, private, and non-profit partners
- Obtain external funding to enhance or replace the university's initial/continuing investment
- Maintain a minimum critical mass of faculty and staff

- Show positive return on investment (as quantifiable)
- Demonstrate an influence on public policy for the betterment of the community, region, state, and/or nation
- Increase student competitiveness in the marketplace

As per the SIU System, each center and institute is required to establish and maintain a management plan. This document will specify the center's/institute's mission, objectives and expectations, performance measures, organizational and governance structure, criteria for faculty membership/participation, role and sources of funding support for the director, and other elements relevant to the unit. This management plan will be reviewed and approved by the senior administrator of the campus or the medical school. Modifications of the plan may be made by the director and the faculty of the center/institute, contingent upon approval by the senior administrator.

In addition, centers and institutes are expected to have an external advisory board if the unit serves the community, region, or state, or, an internal advisory board if there is little direct community interaction. The supervising administrator will serve as ex officio on the board.

### **IBHE GUIDELINES FOR PROGRAM REVIEW**

IBHE recognizes that periodic review is a critical and constructive process whose essential elements are documentation of objectives and identification of actions for future improvement. They require center/institute review on an eight year cycle. Institutions are responsible for developing centers/institutes review procedures that cover key components of the assessment of goals or objectives, and improvements in the effective and efficient delivery of centers/institutes' mission using technological innovation and comprehensive data systems. At the end of the review, IBHE requires a summary report that includes:

- Description and assessment of any major changes in the center/institute
- Major findings and recommendations, including evidence of goals or objectives being met or not met, and identification of opportunities for improvement of the center/institute
- Actions taken since the last review, including resources and practices
- Actions to be taken as a result of this review, including changes in resources and practices, and assessment of stated goals and/or objectives

The template for the IBHE report is included in the appendix. It can also be downloaded from the System's website (<https://siusystem.edu/academic-affairs/forms.shtml>)

### **ELEMENTS OF REVIEW FOR CENTERS AND INSTITUTES**

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The APAP office posts the schedule for reviews on the website (<https://pvcaa.siu.edu/associate-academic-programs/program-review/>). Centers or Institutes should identify a faculty member or administrator as the key contact for the review. Workshops are offered that cover key elements of the review process. It is recommended that faculty and staff attend the workshops.

In general, centers/institutes have a desk top review as opposed to an on-site visit. The material for the review will include the self-study. Virtual meetings with faculty, staff, or administrators can be scheduled as needed. If an on-site visit is requested, the logistics and cost of hosting the site review will need to be negotiated in advance.

## **ANNUAL REPORT**

Centers and Institutes are required to submit an annual report to the Office of the Vice Chancellor for Research ([ovcr@siu.edu](mailto:ovcr@siu.edu)). These reports are submitted to the SIU System Office, where they are compiled with similar reports from SIUE and presented to the SIU Board of Trustees. In addition, the annual reports provide the foundation for the self-study report.

The template for this annual report is included in the appendix and on the SIU System website (<https://siusystem.edu/academic-affairs/forms.shtml>). Key elements of the report are:

- Overview (description, mission, objectives)
- Advisory Board (membership, number of meetings)
- Annual Performance
  - Performance measures (targets/results)
  - Major accomplishments
  - Evidence of support for the Illinois Public Agenda, SIU Board of Trustees, SIU Campus Strategic Planning
  - Evidence of support for center/institute objectives
  - Evidence of organizational effectiveness
- Institutional Assessment
- Resources

Previous Centers and Institutes Annual Reports can be found on the SIU System's website (<https://siusystem.edu/academic-affairs/reports.shtml>).

## **PREPARING THE SELF-STUDY**

The annual reports provide information required in the self-study. If these are up-to-date, the time to prepare the self-study is reduced. Centers and institutes are advised to begin the self-study in the spring term prior to the review since it is due in the APAP Office on August 15. The major elements of the self-study are:

- Brief overview of program
- Advisory board
- Performance measures
- Changes since the last review
- Organizational effectiveness
- Major activities
- Revenue and annual expenditures
- Facilities

The appendix to the self-study report will include:

- Faculty curriculum vitae (2-pages per faculty)
- Previous reviewer's report and recommendations
- Strategic plan
- Annual reports
- Center/Institute management plan

A template for the self-study report is included in the appendix and available for download (<https://pvcaa.siu.edu/associate-academic-programs/center-institute-review/>)

## SELECTION OF REVIEWERS

According to the State Officials and Employees Ethics Act (5ILCS 430), units must avoid nominating reviewers with potential bias or conflicts of interest with the program or its faculty. Current or former collaborators, colleagues, mentors, and students, faculty, and staff of the unit are inappropriate, as are past reviewers of the unit. If you have any questions about possible conflicts of interest, contact the APAP ([apap@siu.edu](mailto:apap@siu.edu)).

- In the spring term prior to the year of the review, the center/institute should identify a potential external reviewer, including an alternate, and informally ask if they are willing and available to serve. It is acceptable to nominate a reviewer from industry.
- Provide the names, contact information and affiliation of the reviewers to the APAP office by April 15.
- The APAP office will send the list of all nominated reviewers to the Faculty Senate and Graduate Council for review and approval as appropriate.
- The APAP Office will notify the center/institute if a reviewer is not approved (conflict of interest).
- An official letter of invitation should be sent to the reviewer (see appendix).
- In the event that a scheduled reviewer cancels, the program should use the alternate reviewer approved. If the list is exhausted, an alternate should be nominated by the program. A change in reviewer should be reported to the APAP Office.

## REVIEWER'S REPORT

The report must follow the center/institute reviewer template. As with the self-study report, the reviewer's report is included in the appendix and can be downloaded from the APAP website (<https://pvcaa.siu.edu/associate-academic-programs/center-institute-review/>). This allows us to comprehensively evaluate the review across different programs. The reviewer's report should be submitted electronically to the APAP Office ([apap@siu.edu](mailto:apap@siu.edu)). The report will be reviewed for completeness. Once accepted, the APAP Office will distribute it to the appropriate administrators.

The external reviewer will receive a stipend of \$250 after the submission and acceptance of the report. The center/institute is responsible for preparing documentation necessary to release payment from SIUC for the honorarium. All documentation should be submitted to the APAP Office for processing. The stipend should not be augmented.

## MEETING TO DISCUSS REVIEWER'S REPORT

Depending on the reporting line of the Director of the Center/Institute, a meeting to discuss the results of the review should be scheduled with the Dean, Provost and Vice Chancellor for Academic Affairs, Vice Chancellor for Student Affairs, or Vice Chancellor for Research. The APAP should be included in this meeting. A draft of the IBHE Report (see appendix) should be submitted by the Director to the respective administrator(s) prior to the meeting. A decision on the outcome of the review should be finalized in this meeting (center/institute in good standing, flagged for priority review, suspended). A revised and final IBHE Report should then be prepared and submitted to the APAP office.

## FINAL STEPS

A report summarizing the reviews for the academic year are submitted to the SIU System, Faculty Senate, and Graduate Council. The report uses the required IBHE Program Review template. A final Program Quality Assurance Report (PQAR) is compiled from this report, the report from Southern Illinois University Edwardsville, and a report on the status of accredited programs. The PQAR is submitted to

the Board of Trustees and the Illinois Board of Higher Education. Past PQAR reports are posted on the systems website (<https://siusystem.edu/academic-affairs/reports.shtml>).

The APAP Office will send letters of appreciation to the reviewers.

**TIMELINE FOR CENTER/INSTITUTE REVIEW**

Submit Reviewers Names to APAP April 15	Submit Self-Study Report to APAP August 15	Submit Self-Study Report to Reviewer Sept.	Schedule Virtual Meetings (if needed) Sept.-Nov.	Reviewer's Report Due First week of December	Meeting to discuss Results Dec-Feb.	Compile all review reports and submit to System's Office Summer
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## APPENDIX

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Sample Invitation Email to Reviewer

Self-Study Template for Centers/Institutes

Reviewers' Report Template for Centers/Institutes

Template for Report to IBHE

Center and Institutes Annual Reporting Template

## SAMPLE INVITATION EMAIL TO EXTERNAL REVIEWER

[Date]

Dear Dr. [XXX],

Given your experience and expertise, you have been nominated to serve as an external reviewer for the [20XX-20XX] review of the [name of center/institute]. I am writing to ask if you would be willing to serve. This will be a desk-top review with the option of conducting virtual interviews. In general, reviews are conducted in the fall, with a report due the first week in December. There is a \$250 honorarium for the review.

As required by the Illinois Board of Higher Education, the university conducts reviews of its academic programs and centers/institutes every eight-years. The purpose of these reviews is to assess systematically and objectively the strengths and weaknesses of each center/institute and to use the information as part of our sustained efforts in continuous improvement. The material for the review will include a self-study and any virtual meetings you may want to have with affiliated faculty, students, administrators, and staff.

I hope you are able to accept our invitation. Please notify me of your acceptance no later than [Date]. If you are not able to accept this assignment, please let me know at [email and/or phone number] so another reviewer may be selected without delay. Thank you for your assistance.

Sincerely,

Director

cc: APAP Office

## SELF-STUDY TEMPLATE FOR CENTERS/INSTITUTES

Link for template: <https://pvcaa.siu.edu/associate-academic-programs/center-institute-review/>

Center/Institute  
Self-Study Report  
Date



### **Overview**

Provide a brief overview of the center/institute (e.g. the year the center/institute was founded, administrative and staffing structure, the number of faculty or programs involved).

### **Advisory Board**

Provide the names and affiliation of the advisor board members, indicating officers  
Describe the purpose of the board and how frequently it meets.

### **Performance Measures**

Summarize the performance of the center/institute over the period since the last review. Key element of performance should include data from annual reporting (targets/results).

Evidence of support for the Illinois Public Agenda, SIU Board of Trustees, SIU Campus Strategic Planning

Evidence of support for center/institute objectives

Evidence of organizational effectiveness

### **Changes Since Last Review**

Include major accomplishments

## **Organizational Effectiveness**

Describe/list faculty involvement with the center/institute. Include 2-page CV of key faculty and administrators involved in the center/institute in the appendix.

Report changes in faculty and staff since last review (e.g. resignation/retirement, new hires, etc.). Provide an overview of the impact of these changes. Include a personnel map for the center/institute and describe how organizational effectiveness is evaluated.

## **Major Activities**

Depending on this mission of the center/institute, provide an inventory of output (including but not limited to publications, grants, productions, number of people served, outreach activities, new initiatives)

## **Revenue and Annual Expenditures**

Report and analyze the most recent three years (at a minimum).

- Total funds expended during the previous three fiscal years by funding source
- Total positions during the previous fiscal year by funding source and type of position

## **Facilities**

Briefly describe facilities, labs, studios, or any relevant community spaces. Are there special features that are unique to the center/institute? Are the facilities adequate? Does the center/institute have a plan in place for acquiring new equipment, maintaining current facilities, or improving the environment?

## **Summary**

Describe the center/institute's plan for the future growth and improvement in the next eight years (including but not limited to curricular, research, service, facilities, faculty recruitment and development, student recruitment and retention, diversity goals).

What opportunities exist to extend and build on the present strengths? What are the major obstacles?

## **APPENDIX**

### **Faculty Curriculum Vitae (2-pages per faculty)**

### **Previous Reviewer's Report and Recommendations**

### **Strategic Plan**

### **Annual Reports**

### **Center/Institute Management Plan**

If any of these documents are posted online, provide a link instead of inserting the full document.

## REVIEWER REPORT TEMPLATE FOR CENTERS/INSTITUTES

Link for template: <https://pvcaa.siu.edu/associate-academic-programs/center-institute-review/>

Center/Institute

Reviewer Report

Date



### **Overview**

Provide a brief description of the center or institute's strengths and/or notable accomplishments. Note whether or not you spoke with anyone associated with center/institute during your review to garner additional information about the center/institute. Provide the names and affiliations of the reviewers.

### **Performance Measures**

Provide an overall view on the process of assessment and continuous improvement, touching on key elements including but not limited to:

- How is the Advisory Board or other constituencies involved in defining and reviewing the mission, goals, and objectives?
- Provide examples of how performance measures are used and appropriate for determining the achievement of objectives?
- How is the center or institute documenting evidence of continuous improvement?

## **Facilities and Laboratories**

Provide an overview of the quality of the facilities, teaching labs, research labs and studios (as appropriate). How do these provide support for the center or institute's objectives?

## **Leadership and Institutional Support**

Provide an overview of the quality and effectiveness of the center or institute's leadership and institutional support. How is the center or institute aligned with the Illinois Public Agenda or strategic planning at the system or campus levels?

## **Recommendations**

Provide recommendations for the center or institute. Consider the following questions.

- Where do you see opportunities for growth given the current resources and faculty expertise?
- Do you see opportunities for new areas of service, research or partnerships?
- Can you recommend improvements in the assessment and continuing improvement processes?

## TEMPLATE FOR REPORT TO IBHE

Downloaded from SIU System <https://siusystem.edu/academic-affairs/forms.shtml>

**<CENTER/INSTITUTE>**

1. **Reporting Institution** Southern Illinois University Carbondale
2. **Center/Institute Reviewed**
3. **Date**
4. **Contact Person**
  - 4.1. **Telephone**
  - 4.2. **E-mail**
  - 4.3. **Fax**
5. **Major Findings and Recommendations**

The review team was comprised of:

- 5.1 **Description and assessment of any major changes in the center/institute:**
- 5.2 **Description of major findings and recommendations, including evidence of objectives and identification of opportunities for continuous improvement:**
- 5.3 **Description of actions taken since the last review, including resources and activities:**
- 5.4 **Description of actions to be taken as a result of this review, including resource and activities:**

**CENTER AND INSTITUTES ANNUAL REPORTING TEMPLATE**

Downloaded from SIU System <https://siusystem.edu/academic-affairs/forms.shtml>

**CENTERS AND INSTITUTES  
ANNUAL REPORTING**

Report For: July 1, xxxx– June 30, xxxx  
(IBHE Approved and/or Illinois State Statute Established Only) \*

- 1. Reporting Institution \_\_\_\_\_
- 2. Center/Institute \_\_\_\_\_
- 3. Date \_\_\_\_\_
- 4. Director \_\_\_\_\_
- 4.1 Telephone \_\_\_\_\_
- 4.2 E-mail \_\_\_\_\_
- 5. Year Established \_\_\_\_\_
- 6. Illinois State Statute \_\_\_\_\_ (if pertinent)
- 7. Reporting Unit \_\_\_\_\_

<b>8. Type</b>	<b>Activity (check all that apply)</b>
Instructional	<input type="checkbox"/>
Research	<input type="checkbox"/>
Public Service	<input type="checkbox"/>

\* Complete this form for each center and institute established (or that is in the process of being established) through the Illinois Board of Higher Education approval process (23 Illinois Administrative Code 1050) or by specific Illinois state statute. See University Guideline 2.4 for details. This report will be completed by the center or institute after conclusion of the academic/fiscal year.



9. Overview

9.1 Description

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9.2 Mission

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9.3 Objectives

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10. Advisory Board

10.1 Advisory Board - Membership

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10.2 Number of Meetings (In This Year)

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11. Annual Performance

11.1 Performance Measures \*

Measure	Target for Year	Results in Year
1.		
2.		
3.		
4.		
5.		

\* Center/institute-defined measures and targets. Depending on the particular center/institute, these may include intellectual contributions (such as publications), grants, public service activities.

11.2 Major Accomplishments (In This Year)

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11.3 Evidence of Support for Illinois Public Agenda, SIU Board of Trustees, and SIU Campus Strategic Planning

11.4 Evidence of Support for Center/Institute Objectives

11.5 Evidence of Organizational Effectiveness

12. Institutional Assessment

**12.1 Date of Last Review** \_\_\_\_\_

12.2 Decision at Last Review \_\_\_\_\_ Center/Institute in Good Standing  
\_\_\_\_\_ Center/Institute Flagged for Priority Review  
\_\_\_\_\_ Center/Institute Suspended

12.3 Explanation \_\_\_\_\_