

**CHARTER FOR THE CONTINUATION
OF THE
MULTIDISCIPLINARY AND MULTICAMPUS
FILIUS INSTITUTE
OF
DISABILITY AND REHABILITATION RESEARCH**

Preamble

This five-year charter extension granted to the Multidisciplinary and Multicampus FILIUS Institute of Disability and Rehabilitation Research constitutes the legal and managerial basis for its operation. The starting date for this extended charter is **XXXXX**, 2005.

This charter is authorized under the University of Puerto Rico's Board of Trustees Certification 023, dated September 30, 1996, titled **"Policy for Establishing Multidisciplinary and Multicampus Research Institutes"**. All regulations and stipulations of Certification Number 023, 1996-97 supersedes any statement or condition stipulated in this charter.

The principal purpose for the creation of Multidisciplinary and Multicampus Institutes is to facilitate and nurture the formation of strategic alliances among faculty from different departments and campuses of the University of Puerto Rico. This will promote making optimum use of resources and to develop competitive research with a specific R&D mission that will exploit a clear window of opportunity that meets a clear need for enhancing the quality of life and economic competitiveness of Puerto Rico. Also, the institutes will develop an effective training program for undergraduate and graduate students that include the supervision of students' thesis.

Article 1. The FILIUS Institute's Vision and Mission

Vision

The FILIUS Institute is envisioned as a socially responsive multi-disciplinary and multi-campus research and development, and training organization that addresses the regular & special education, mental health, penal conditions, rehabilitation and community needs of Hispanic individuals to improve their quality of life. Its investigations, service systems changes, community initiatives, service policy analyses, intramural services, public dissemination, faculty & student education, and professional training initiatives will have a definite impact on persons with physical, cognitive, sensory, communicative, mental and psychosocial disabilities within communities in Puerto Rico, the United States and Latin America.

Mission

The mission of the FILIUS Institute is to improve the quality of life of Hispanic individuals with very special life conditions within communities in Puerto Rico, the United States and Latin America. This will be accomplished through research projects, faculty and student education, training of professionals, intramural practice, policy analysis, service systems changes, and science-based knowledge and technology transfer and community interventions towards better health, education, rehabilitation and community re-strengthening. Our goal is to promote the inclusion of these individuals and promote community enhancement.

Article 2. **The FILIUS Institute's General Goals and Operational Objectives**

The FILIUS investigators and training staff will prepare initiative agendas that will guide their operations and serve to evaluate the individual program accomplishments. The business plan to augment the Institute's projects, resources and functions will steer all management activities in order to continue developing FILIUS as stable scientific and socially pertinent organization within the University of Puerto Rico.

The FILIUS Institute's general and operational objectives during this second five-year charter period are to:

- ◆ Investigate on basic and clinical aspects of human disabilities, mental, and penal conditions; community aspects for its restrengthening; and educational reform
- ◆ Develop and patent assistive technology for disabilities
- ◆ Propose cost-efficient public service paradigms in regular & special education, rehabilitation, and community improvement
- ◆ Provide special education, rehabilitation and community demonstrations, and technical assistance
- ◆ Conduct knowledge and technology transfer on disability, rehabilitation, and community results
- ◆ Provide disability, rehabilitation, education, and community research and training opportunities to University staff and students, and
- ◆ Afford continuing education to professionals in these fields.

All the initiatives of the programs that are part of FILIUS, and FILIUS, as an institute will follow operations agendas that respond to its goals and objectives. These goals and objectives are:

◆ Research Goal 1.0: To investigate on basic and clinical aspects of human disabilities, mental and penal conditions; community aspects for its restrengthening; and educational reform.

Objective 1.1: Describe the characteristics of individuals with disabilities and other psychosocial conditions, and communities in Puerto Rico

Objective 1.2: Investigate on the prevalence and incidence of human disabilities and psychosocial conditions in Puerto Rico

Objective 1.3: Improve the evaluation, assessment, and diagnosis processes for Latinos and community situations

Objective 1.4: Determine the usefulness of intervention strategies for Hispanics with disabilities, and community restrengthening

Research Goal 2.0: To develop and patent assistive technology for disabilities

Objective 2.1: Determine low and high technology assistive technology needs for Puerto Rico

Objective 2.2: Conduct research and development of needed assistive technology

Objective 2.3: Patent inventions with high selling probabilities

Objective 2.4: Coordinate production and marketing procedures for approved assistive technology

Objective 2.5: Commercialize the patented devices.

♦ Research Goal 3.0: To propose cost-efficient public service paradigms in regular & special education, mental health, rehabilitation, and community improvement.

Objective 3.1: Obtaining public agency contracts to study particular service delivery situations

Objective 3.2: Investigate on factors related to service delivery problems

Objective 3.3: Prepare reports and conduct conferences to discuss findings

Objective 3.4: Coordinate legislative actions to implement resulting research innovations.

♦ Research Goal 4.0: To provide special education, rehabilitation and community demonstrations, and technical assistance

Objective 4.1: Conduct needs assessments for demonstration programs and technical assistance with private and public organizations

Objective 4.2: Obtain contracts with these organizations for demonstration and technical assistance services

Objective 4.3: Conduct services and provide outcome data.

♦ Research Goal 5.0: To conduct knowledge and technology transfer on disability, rehabilitation, mental health, and community results.

Objective 5.1: Prepare reports on data findings for dissemination through the FILIUS web page, and publications

Objective 5.2: Organize and conduct periodic conferences and workshops to discuss research findings and train professionals in the use of these results.

♦ Research Goal 6.0: To provide disability, rehabilitation, education, and community research and training opportunities to University staff and students.

Objective 6.1: Determine research and research education needs of faculty and students in the various campuses

Objective 6.2: Establish and implement individualized training programs for participating staff and students

Objective 6.3: Prepare and disseminate reports on the results and outcomes of the research and research training activities conducted by staff and students.

♦Research Goal 7.0: To afford continuing education to rehabilitation, health, education, psychology, and special education professionals.

Objective 7.1: Conduct needs assessments for continued training of professionals

Objective 7.2: Organize and provide continuing education through conferences, workshops, distance learning, and teleconferences.

Article 3. **Management and Administrative Authority Granted**

The intent of this extended charter is to continue granting the FILIUS Institute its maximum operational flexibility in order to accomplish its goals and objectives. The President has approved the Institute's organizational structure included in the Addendum.

The day-to-day administration of the FILIUS Institute will be conducted in accordance with the norms and regulations stated in the UPR Board of Trustees Certification 023, dated September 30, 1996, and the University of Puerto Rico's rules and regulations, unless waivers are requested and granted by the President.

The FILIUS Institute is granted authority, with the President's and when necessary, a chancellor's approval, to seek the construction or remodeling of facilities necessary for carrying out its functions.

The FILIUS Director has the authority to negotiate proposals and contracts to obtain external funds from the U.S. Government, Puerto Rico Government or any other public or private entity, in accordance with its mission, goals and objectives.

The participation of any faculty member of any UPR Campus that agrees to serve at the FILIUS Institute for a fix percent of his academic effort will be arranged through a negotiation between the Director of the FILIUS Institute and the chancellor of the home campus. Upon final agreement between the parties, the professor will serve in the FILIUS Institute for the agreed percent of his/her academic effort for the duration of the charter.

The FILIUS Institute will be able to hire academic researchers but will not have the authority to offer or grant tenure in the UPR System. The Director of the FILIUS Institute can negotiate with the chancellor of any given campus the appointment of a FILIUS Institute full-time researcher to occupy a regular tenure-track faculty position in the Chancellor's Campus. The negotiation will include the determination of the specific percent of the academic effort to be dedicated to the Institute's activities.

The FILIUS Institute has the authority to recruit and hire the academic personnel necessary to carry out its functions either as adjunct professors or researchers, as well as recruit and hire necessary technical and administrative personnel required to accomplish its objectives. But none of these personnel is entitled or can be given tenure in the UPR System.

The FILIUS Institute can negotiate directly with chancellors the appointment of Adjunct Professors, as well as the space and infrastructure required for its operation.

The multidisciplinary and multicampus operational nature of the FILIUS Institute requires that it function as a "virtual organization" linking all its participating researchers and faculty by common intellectual interests and by high-speed telecommunications.

All of the directors of the approved research units that form FILIUS are hereby appointed as adjunct professors to FILIUS for the duration of this extended charter, all in accordance to Certifications numbers 23 and 24, 1996-97, of the Board of Trustees.

As part of FILIUS, the following individuals will direct FILIUS and its named ascribed units as follows:

- FILIUS Instituta: Dr. Nicolás Linares, General Director
- Program of Assistive Technology: Prof. Maria Miranda, Director
- Program of Research on Mental Health and Penal Corrections: Dr. Carmen Rodriguez, Director
- Program of Autism and Other Human Disabilities: Dr. Yessika Varela, Director
- Program of Community Research and Restrengthening: Dr. Carlos Vazquez Rivera, Director
- Program of Educational Research: Dr. Maria T. Morales, Director.

Additional programs may be established in the FILIUS Institute during its existence. As such FILIUS Institute is the only Multidisciplinary and Multicampus Institute created under the "**Policy for Establishing Multidisciplinary and Multicampus Research Institutes**" that was adopted by the University of Puerto Rico Board of Trustees on September 30, 1996, Certification 023.

The FILIUS administrative structure will consist of an Institute Director, a Research Board, and Advisory Committee, and the administrative infrastructure with a manager, and five (5) directors of the individual programs who will report to and be supervised by the FILIUS Institute Director. Each of these programs will have its own administrative staff that will continue providing support to the ongoing research, training and demonstration projects of the investigators and staff in FILIUS.

The FILIUS Institute administration will have the following elements (refer to the Addendum):

The FILIUS Director: will preside the Research Board, and name the program directors; will be responsible for overseeing the total Institute operations, organize the infrastructure to provide adequate support to the participating institutes and their projects, supervise how the research agendas are followed, supervise budgetary uses, provide all financial reports, organize fund-raising activities, coordinate all grant application procedures, organize the data and technology transfer strategies, coordinate student and faculty educational services, and supervise the institute's investigators. The FILIUS Director will conduct periodic meetings with the deans for research in the participating campuses to obtain referrals of faculty, staff, and students who are able to conduct research projects in FILIUS, preside, prepare the annual report and meet with the Advisory Committee. The Director will be the liaison between the Institute and the University of Puerto Rico Vice President for Research and Technology and will respond to that Office.

The UPR President will appoint the FILIUS Director. The FILIUS Director will name the program directors with the UPR President's approval. These will be non-term and non-tenured position.

The Administrative Infrastructure: with a manager to organize, direct, and evaluate all FILIUS management support that includes secretarial services, accounting and audits, information and dissemination systems, personnel procedures, maintenance, invoicing and payments, purchases, pre & post award procedures and other related assistance.

The Research Board: composed of the Director and the program directors to follow-up on the FILIUS by-laws, establish and evaluate the implementation of the research agendas and strategic plans for FILIUS and its programs, and evaluate the business plan thereafter.

The Advisory Committee: composed of external experts in the fields of FILIUS investigations to counsel its Director on methods to advance the strategic plans, business plan, and the research agendas; and,

The FILIUS program directors: will be responsible for identifying, selecting & seeking financing for and directing, research projects within the broad spectrum of biopsychosocial human development, focused on factors that impair optimum physical, mental and social functioning of members of the margined sectors of particularly Puerto Rican and other Hispanic populations; developing and maintaining collaborations with external partner institutions, including national research corporations, national and international Hispanic organizations and post-secondary institutions; collaborating with multi-campus administrators of the University of Puerto Rico system to help develop and operationalize their commitment to a research agenda that is demonstrated, through policy and practices, to promote and facilitate the involvement faculty and students in research efforts; providing training and technical assistance to faculty and

students particularly graduate students, in research technology; spearheading, directing and implementing state-of-the-art research technology; spearheading, directing and implementing state-of-the-art research projects collaboratively with members of the University of Puerto Rico system and external partners; and promoting maximum development, dissemination, knowledge and technology transfer, and publication of research articles in professional journals of the interdisciplinary fields of research to be addresses.

The program directors will promote their program growth and functioning while advancing the FILIUS Institute development, operations, and prestige, by means of a collaborative approach of all the FILIUS constituents.

The UPR Central Administration will host the necessary administrative support for the FILIUS management of the operational funds, both external and matching, of the Institute, during the period of this extended Charter. The specific unit to provide this support will be accorded with the Vice President for Research and Technology. This administrative support will comprise the processing before the pertinent authorities of all matters related to personnel, procurement, finance and budget, initiated by the FILIUS Institute. It will also extend to the necessary record keeping, financial control and periodic reports required by Federal, Puerto Rico and University of Puerto Rico rules and regulations, or by any other public or private entity. The costs of this administrative support will be covered by FILIUS through its UPR and external funds in a percentage that will be negotiated with the pertinent unit to a maximum of 15% of the project costs.

The FILIUS Institute will submit, for the President's approval, guidelines for the use of the indirect costs it will receive.

The University of Puerto Rico, as requested in the budget submitted in the proposal for its establishment, will provide matching funds for the establishment of the FILIUS Institute.

Article 4. Financial Authority and Responsibility

The UPR will match up to 25% of the external funds received by the Institute. These funds will be used to cover the operational costs of the Institute. For the duration of this charter, the amount of UPR matching funds will never be more than \$400,000 per year.

The FILIUS Institute is authorized to seek external funding and sign contracts consistent with its mission and objectives, but all such contracts and grants will need the approval of the President of the UPR in accordance with UPR regulations.

The FILIUS Institute will establish appropriate financial controls and submit the required periodic fiscal reports on a timely basis, and in full compliance with Federal, Government of Puerto Rico and/or University of Puerto Rico rules and regulations.

The President's Office will receive 25% of the indirect costs generated by the Institute.

Article 5. **FILIUS Institute Reporting Requirements and Accountability**

The FILIUS Institute will:

Continue using its established metrics to measure achievement of goals and determine effectiveness and efficiency in attaining its mission. These are:

- Conduct activities related to the urgent needs of Hispanic communities and individuals with very special life situations
- Increase by 15% the quantity of new funds destined for investigation, training, technical assistance, and exemplary service projects
- Increase by 5% the articles published in scientific publications
- Increase by 25% the presentations given in prestigious conferences
- Increase patents and copyrights by 5%
- Increase by 20% the reports and technical manuals related to projects
- Increase by 20% the conferences, symposia, and training projects
- Increase academic personnel and student involvement in projects
- Increase the number of affiliated individuals and organizations
- Increase the participation of associates in prestigious bodies of analysis and design of public policy.

Continue using its evaluation and accountability procedures for self-correction and improvement purposes and to be accountable to the University and funding agencies.

The FILIUS Institute will operate under a well defined, self-determined assessment process and strict accountability procedures.

Evaluation and accountability will be implemented following the principles of external peer review under the supervision of the Vice President for Research and Technology of the UPR.

Article 6. **University of Puerto Rico Oversight and Evaluation**

The FILIUS Institute will be accountable to a Governing Board appointed by the President of the UPR, in accordance with the UPR Board of Trustees Certification 023.

The FILIUS Institute will be subject to audits and special evaluations by the Governing Board, the Vice President of Research and Technology of the UPR, and by the UPR President. An annual progress report and financial reports based on carefully thought-out metrics, benchmarks, and accountability procedures, as well as a strategic plan with its corresponding financial plan and annual operating budget will be submitted to the President and the Governing Board, no later than 30 days after the close of any fiscal year. The President will impart final approval to the operating budget. The Governing Board will recommend to the President the termination of the charter or reorganization of the FILIUS Institute, if it is determined that progress has not occurred in accordance to the proposed strategic plan.

An External Advisory Board, appointed by the President, will conduct a mid-term evaluation of the FILIUS Institute's performance. After the five-year extended charter period, the External Advisory Board will also conduct a thorough evaluation to determine if the Institute's mission and objectives have been accomplished and recommend to the President the renewal or revocation of the Institute's charter.

Article 7. Sunset Clause and Termination Causes

This extended charter will be granted for a five-year period. The decision for revoking or renewing this charter rests solely with the President of the University of Puerto Rico.

The President may revoke this charter at any time before the five-year period whenever it is determined by the Governing Board and the Advisory Board that the FILIUS Institute has failed to comply with the conditions stipulated in the charter, and that such action is in the best interest of the University of Puerto Rico.

Some of the conditions which can cause revocation are: Failure to meet the requirement that at least 50% of the operational budget of the Institute comes from external sources; lack of significant progress in meeting the stated goals and objectives; reporting inaccurate or inflated performance claims; ethics violations, and non-compliance with Federal or other grantor reporting, audit or other legal requirements.

If, at the end of the five-year evaluation by the External Advisory Board, the FILIUS Institute is found to no longer meet its goals as originally stated, a close out process to take no longer than 12 months will be instituted. Equipment, property, and other resources will be redistributed within the UPR System and tenured faculty reassigned to other Institutes or units within the System, whenever possible, and in compliance with University and Federal regulations, when applicable.

Executed this ____ of _____, 2005 at San Juan, Puerto Rico by:

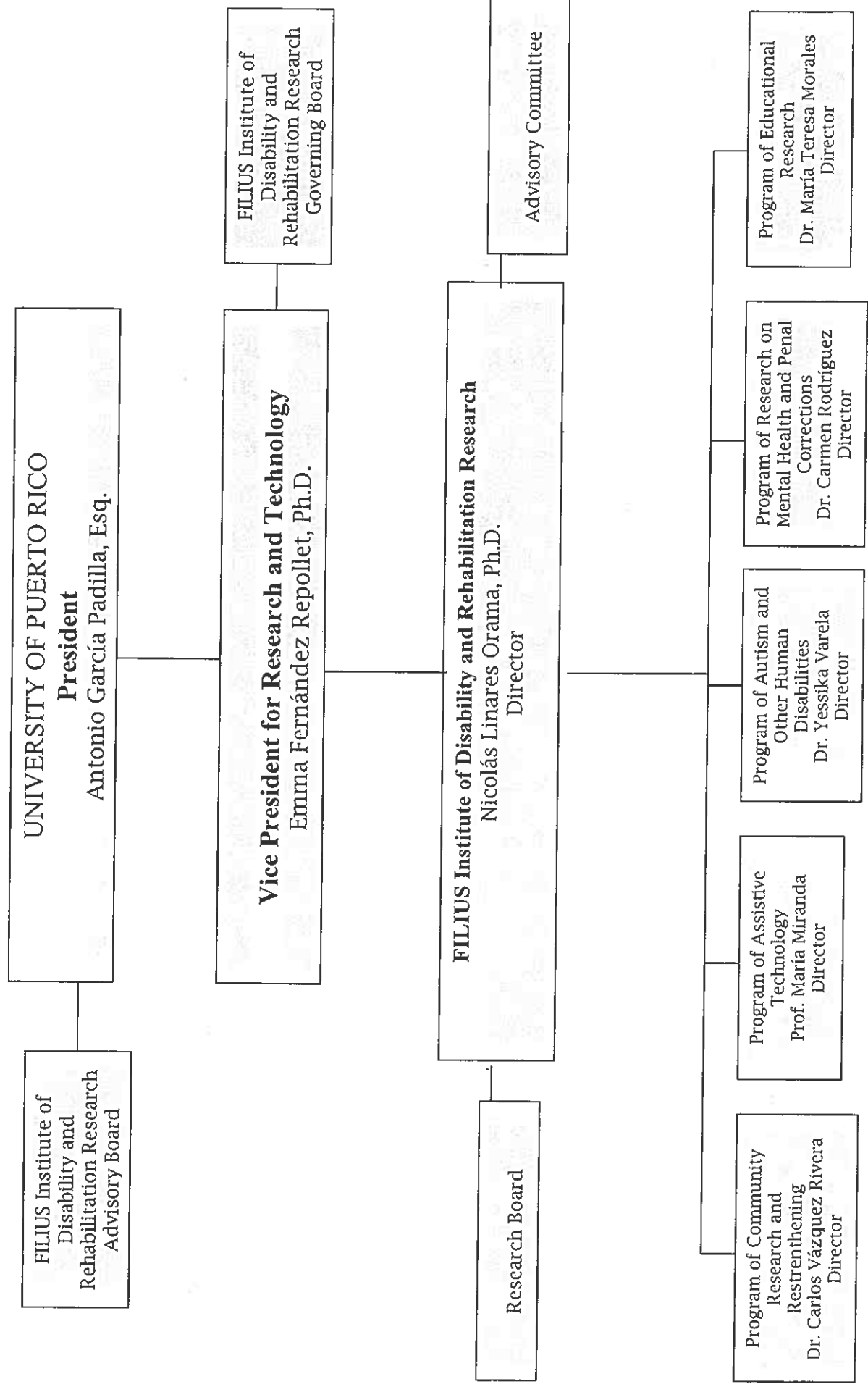
Emma Fernández Repollet, Ph.D.
Vice President of Research and Technology

Gladys Escalona de Motta, Ph.D.
Chancellor, UPR Río Piedras

Antonio García Padilla, Esq.
President

José Carlo, M.D.
Chancellor, Medical Sciences Campus

THE FILIUS INSTITUTE OF DISABILITY AND REHABILITATION RESEARCH ORGANIZATIONAL CHART



**CAMBIOS A LA CÉDULA ACTUAL
DEL
INSTITUTO FILIUS DE INVESTIGACIÓN SOBRE IMPEDIMIENTOS Y REHABILITACIÓN**

ASUNTO	CÉDULA ACTUAL	EXTENSIÓN DE LA CÉDULA	JUSTIFICACIÓN
Título	“Charter for the Creation of the Multidisciplinary and Multicampus The FILIUS Institute of Disability and Rehabilitation Research”	“Charter for the Continuation of the Multidisciplinary and Multicampus FILIUS Institute of Disability and Rehabilitation Research”	Se establece que es la continuación para los próximos cinco años.
Introducción	Menciona su creación	Menciona su extensión	
Visión		Añade otros aspectos y áreas a trabajar incluyendo otras condiciones de necesidades especiales	Se redefine la Visión
Misión		Expande los objetivos y las comunidades a servir	Se redefine su Misión de acuerdo a las nuevas tendencias en estas disciplinas de estudios
Artículo 2	Esta información se incluía en el Addendum	Incorpora estos objetivos en el cuerpo de la nueva Cédula	Se incorpora parte del Addendum al cuerpo del documento para lograr una mayor integración
		Establece que los objetivos son para el segundo periodo de cinco años y amplía los mismos	Se atemperan los objetivos a los nuevos estudios e investigaciones
	Menciona los objetivos operacionales que se establecerían	Amplía los objetivos de investigación	Ya se cumplieron los objetivos de la creación del instituto por lo que ahora se redefinen los objetivos de investigación.
Artículo 3	“It has the authority to submit proposals and enter into ...”	“The FILIUS Director has the authority to negotiate proposals and contracts ...”	Especifica quién en el Instituto puede negociar los acuerdos
		Establece los nombres de los directores de las unidades de investigación	Estas personas ya fueron nombradas como Profesores Adjuntos, según las Certificaciones 023 y 024 (96-97)
		Incluyen la estructura administrativa y las funciones de cada posición.	Estas funciones fueron definidas en el reglamento ya aprobado del Instituto
	La estructura administrativa estaba en un Addendum	Se incorpora en la Cédula	La estructura administrativa ya se conoce y se incorpora lo que estaba en el Addendum en el texto para mayor integración.

Artículo 4	“The UPR will match up to 50% of the external funds...”	“The UPR will match up to 25% of the external funds...”	Para cumplir con la Certificación 023 del 30 de septiembre de 1996
	“The UPR matching funds will never be more than \$200,000 per year”	“The UPR matching funds will never be more than \$400,000 per year”	Se incluye aumento basado en proporción a los fondos generados durante el periodo previo
Artículo 5	Tienen que establecer las métricas	Incorpora las métricas ya desarrolladas	Se integran las métricas al documento
	Establece la supervisión en el Vicepresidente de Investigación y Asuntos Académicos	Establece la supervisión en la Vicepresidenta de Investigación y Tecnología	Para atemperarlo con la nueva estructura de Administración Central
Artículo 6	“The FILIUS Institute will be subject to audits and special evaluations by the Governing Board”	Añade que, además del “Governing Board”, las evaluaciones y auditorías las puede solicitar la Vicepresidenta de Investigación y Tecnología y el Presidente	Las personas de mayor jerarquía pueden también solicitar las evaluaciones y/o auditorías
	“...will periodically evaluate the FILIUS Institute’s performance.”	“... will conduct a mid-term evaluation of the FILIUS Institute’s performance”	Define el término para la evaluación
Artículo 7	“The charter will be granted for a five-year period.”	“The extended charter will be granted for a five-year period.”	Establece que la cédula es extendida
	Fecha de efectividad	Nueva fecha de efectividad	
	Firmaron los incumbentes en ese momento	Se provee para la firma de los nuevos incumbentes	
Addendum	Se incluye	Se elimina	No es necesario incluirlo debido a que se ha integrado al cuerpo del documento
		Se incluye el “Organizational Chart”	Se incorpora la estructura organizacional ya que la misma se conoce