



# TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

## Operating Policy and Procedure

**HSC OP:** 01.02, **Guidelines for the Establishment and Review of Institutes and Centers**

**PURPOSE:** The purpose of this Operating Policy/Procedure is to establish policy and procedure concerning the establishment and review of Institutes and Centers within TTUHSC.

**REVIEW:** This Operating Policy/Procedure will be reviewed by June 1 of each even numbered year by the Deans Council, with recommendations for revisions submitted to the President by July 1.

### **POLICY/PROCEDURE:**

1. **General.** Since its inception, the Texas Tech University Health Sciences Center (TTUHSC) has seen the establishment of numerous institutes and centers that have made important contributions to the accomplishment of TTUHSC mission and goals. The visibility a TTUHSC institute or center may have to the outside world and the perceived authority attributed to the director, faculty member, or staff member of an institute or center, underscores the importance that each institute or center be in fact formally established and accountable to the institution. Therefore, the basic philosophical viewpoint underlying these guidelines is that TTUHSC as a whole, rather than by individual faculty or staff members, is responsible for the establishment of TTUHSC components. Institutes and centers, once approved and established by TTUHSC may, because of their nature, be provided with considerable autonomy. Since TTUHSC is ultimately responsible for all its component units, it is essential that it maintain the authority to establish, review, and dissolve components as TTUHSC deems appropriate.
2. **Definitions.**
  - a. Institute – An Institute is a group of faculty and associates, formally recognized and approved by TTUHSC, joined together in a multidisciplinary and/or interdisciplinary fashion, to pursue research, education, and/or clinical activities that require substantial input of two or more disciplines at least one of which is not contained in a single School or within TTUHSC. Institutes typically will be funded by appropriations, grants, or contracts, for which administrative and fiscal control is assigned to the Institute Director who reports to the President, through his delegated authority to the Deans Council as provided in HSC OP 10.11.
  - b. Center – A Center is a group of faculty and associates, formally recognized and approved by TTUHSC, joined together in a multidisciplinary and/or interdisciplinary fashion to pursue research, education, and/or clinical activities that require the input from disciplines within a single TTUHSC School and outside entities as required. Centers will be typically funded by appropriations, grants, or contracts, for which administrative and fiscal control is assigned to the Center Director who reports to a School's Dean, rather than to an individual Department.
3. **Institutes.**
  - a. Goals – An Institute shall:
    - 1) Facilitate, coordinate, and conduct multidisciplinary and interdisciplinary research, training, and where appropriate, service in cooperation with existing Schools within and outside TTUHSC;
    - 2) Encourage and accelerate the application of knowledge obtained from research to patient care and education;
    - 3) Establish and evaluate innovative training and educational programs; and
    - 4) Enhance quality and productivity of School faculties.

b. Procedure for Consideration of Formation of New Institutes - Any TTUHSC faculty member may petition the Dean of his/her School for a recommendation to be made to the Deans Council for approval of the establishment of a new Institute. A Dean, in collaboration with the Dean of each School that would participate in the proposed Institute, may then petition the Deans Council for approval of the proposed Institute. Final approval for any new Institute will be by the TTUHSC President.

- 1) Proposals for establishing a new Institute shall include at least the following elements:
  - A strategic plan encompassing academic, financial, and operational components with identifiable objectives covering the initial period of operation and outlining longer term objectives with a view toward appropriate flexibility over time;
  - A business plan adequate to meet the strategic objectives of the Institute over the expected period of its operation;
  - A plan for equitable and appropriate distribution among the Institute and participating academic units and faculty members of external or internal funding provided to or obtained by the Institute.
  - Consideration of the mission and work of the proposed Institute in light of other TTUHSC activities in related fields;
  - Provision for written annual progress reports, measuring the success of the Institute in meeting its goals and objectives.
- 2) To assist in evaluating a request for establishment of an Institute, the Deans Council may appoint an *ad hoc* Committee made of faculty members from TTUHSC or other academic institutions or non-academic entities as recommended by the Dean or Deans of the participating TTUHSC School or Schools. The recommended faculty members should possess appropriate expertise to evaluate the request for Institutional status.
- 3) In its review of a proposed Institute the ad hoc Committee shall assess the proposal for compliance with the definition of Institutes as provided herein and shall also assess the extent to which the plan for the proposed Institute addresses the elements set forth in paragraph (a) above. The ad hoc Committee shall forward its recommendation to the Deans Council.
- 4) The Deans Council shall consider the advice of the members of the Council regarding the proposed Institute. After due consideration the Deans Council shall submit its recommendation to the President who shall make the final decision on the proposed Institute.

c. Governance

- 1) Director
  - The Deans Council shall be responsible for making a recommendation to the President for selection of the Director of an Institute. The Deans Council will appoint a Search Committee which shall include at least one member of the faculty of each participating School, plus such other persons as the Council deems appropriate, to search for and evaluate candidates for the position. The Search Committee shall present its recommendations to the Council for consideration and transmission to the President.
  - Institute Directors shall report to the Council or to such other designated TTUHSC official of the Council, as deemed appropriate by the President.

- Institute Directors shall be responsible for planning, coordination, and management of the programs and activities of the Institute.
  - It is the responsibility of the Council, or such other TTUHSC official as the Council as deemed appropriate by the President, to assess the financial resources necessary to support the Institute.
  - Institute Directors shall have authority for the budgeting and spending of Institute funds consistent with TTUHSC policies and procedures and subject to the ultimate oversight and authority of the Council and the Executive Vice President for Finance & Administration.
  - The Institute Director shall present a written annual progress report for review by the Council by February 1, of each calendar year.
- 2) Institute Members - All members of the Institute (including the Institute Director) must be faculty members of the participating Schools and are subject to the authority of the Deans of their respective School for all matters related to faculty appointments, promotions, and tenure. In addition, at the Institute Director's discretion an Institute may employ such non-faculty members as the Director deems necessary and appropriate.
- 3) Institute Advisory Board – The Deans Council, subject to approval by the President, may appoint for each Institute an Advisory Board that may include faculty members from the participating Schools or such other individuals as the Council deems appropriate. The Advisory Board shall:
- Advise the Director regarding goals and objectives of the Institute;
  - Assess the adequacy and appropriateness of resources and staff necessary for the successful operation of the Institute; and
  - Evaluate the Institute's academic strengths and progress toward achieving goals.
- d. Review - At least once every three years, each Institute shall undergo a review by the Deans Council or such other TTUHSC official as the President deems appropriate.
- e. Discontinuation of an Institute – A proposal to discontinue an Institute can be made by the Deans Council to the President for review and approval.

#### 4. Centers.

- a. Goals – A Center will strive to:
- 1) Accomplish a clearly defined mission that supports the major strategic objectives and core academic mission of the School and adds value to the School and to TTUHSC;
  - 2) Increase interdisciplinary activity between School and identified partners; and
  - 3) Enhance quality and productivity of School faculties.
- b. Procedure for Consideration of Formation of New Centers - Any member of the faculty may petition the Dean of his/her School for a recommendation to the Deans Council for approval of the establishment of a new Center.
- 1) The case for establishment of a new Center shall include at least the following elements:
    - A strategic plan encompassing academic, financial, and operational components with identifiable objectives covering the initial period of operation and outlining longer term objectives with a view toward appropriate flexibility over time;

- A funding plan adequate to meet the strategic objectives of the Center over the expected period of its operation;
  - Consideration of the mission and work of the proposed Center in light of other activities within the School in related fields;
  - Provision for written annual progress reports, measuring the success of the Center in meeting its goals and objectives.
- 2) The Dean shall appoint an *ad hoc* Committee of faculty members of the School with appropriate expertise to evaluate the request for institutional status.
  - 3) The *ad hoc* Committee shall review the request for compliance with the definition of Centers as provided herein. The *ad hoc* Committee shall forward its recommendation to the Dean.
  - 4) Following consideration of the recommendation of the *ad hoc* Committee, the Dean may advance the proposal to the Deans Council for final approval. No Center may be publically identified until approval by the Deans Council has been received.

c. Governance

1) Director

- The Dean of the School in which a Center is located shall be responsible for selection of the Director of the Center.
- Center Directors shall report to the Dean or to the Dean's designee.
- Center Directors shall be charged with the planning, coordination, and management of the programs and activities of the Center.
- It is the responsibility of the Dean or the Dean's designee, with input from the Center Director, to assess the financial resources necessary to support the Center.
- Center Directors shall have authority for the budgeting and spending of Center funds consistent with TTUHSC policies and procedures.
- The Center Director shall present a written annual progress and financial report to the Dean.

2) Center Members

- All members of the Center (including the Center Director) are subject to the authority of the Dean of the School for all matters related to performance review, faculty appointments, promotions, and tenure.
- Recommendation for academic promotion of Center members may be initiated by the Center Director in consultation with the relevant Department Chair.

d. Review - At least once every three years, each Center shall undergo a review by the Dean in which the Center is located.

e. Discontinuation of a Center - A proposal to discontinue a Center may be made by the Dean to the Deans Council for review and approval.

5. **Sunset Review.** No later than the sixth anniversary following initial approval, each Institute and Center shall receive a sunset review. Preparation and presentation of the justification for continuation shall be the responsibility of the Institute or Center Director. Any Institute or Center not seeking continuation shall be automatically dissolved on its sixth anniversary.

- a. Institutes  
An Institute seeking continuation beyond its sunset date shall be reviewed by the Deans Council. The Council shall make a recommendation regarding continuation to the President for final determination.
- b. Centers  
A Center seeking continuation beyond its sunset date shall be reviewed by the Dean of the School in which the Center is located. The Dean shall make a recommendation regarding continuation to the Deans Council for final determination.
- c. Criteria  
A sunset review of an Institute or Center will evaluate the achievement of its mission, its performance of objectives specified in its strategic plan, its return on investment, information contained in its annual reports, and other appropriate criteria.

**6. Academic Course Offerings.**

An Institute may not offer formal, on-campus courses for degree credit unless specifically authorized to do so by the Deans Council. Institute short courses, continuing education courses, and off-campus courses offered via distance learning must comply with TTUHSC distance learning policies and be approved by the Council. A Center may not offer formal on-campus courses for degree credit unless specifically authorized to do so by the Dean in which the Center is located. Center short courses, continuing education courses, and off-campus courses offered via distance learning must comply with TTUHSC distance learning policies and be approved by the Dean in which the Center is located.

**7. Academic Tenure.**

A TTUHSC Institute or Center shall not be the tenure home for participating faculty; rather Institutes and Centers are umbrella organizations to draw upon faculty expertise from multiple disciplinary homes/locations of the respective faculty members.

**8. Vice Presidential Institutes and Centers.**

A TTUHSC Vice President may recommend to the Deans Council the establishment of an Institute or Center. The Council shall identify the provisions set forth herein that will apply to the establishment, review, and dissolution of Vice Presidential Institutes and Centers. However, any faculty member who participates in or is employed by a Vice Presidential Institute or Center shall be specifically subject to the provisions set forth herein regarding academic tenure. In addition, all Vice Presidential Institutes and Centers shall conform to the provisions set forth herein regarding academic course offerings and all such Institutes and Centers shall be subject to sunset review and required to report annually to the Deans Council.