



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 is to establish policy and procedures concerning the establishment and review of Institutes and Centers within TTUHSC.

REVIEW: This Operating Policy will be reviewed by June 1 of each even numbered year (ENY) by the Academics 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's mission and goals. The visibility that a TTUHSC Institute or Center achieves and the responsibility 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 university. TTUHSC as a whole, rather than individual faculty or staff members, is responsible for the establishment of TTUHSC components. Once approved and established by TTUHSC, Institutes and Centers may, because of their organizational structure, 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 TTUHSC entity organized for the purpose of aligning and conducting cooperative research, providing specialized educational, outreach and/or service programs in their area of expertise, and raising funds in support of those efforts. They are comprised of faculty and staff across the schools or campuses who, through an interprofessional approach, share a common goal as stated in their mission. Institutes typically will be funded by institutional appropriations, grants, student fees (where appropriate), or contracts, for which administrative and fiscal control is assigned to the Institute Director who reports to the President or his/her designee.

1) To foster collaboration among faculty and to amplify the visibility and reputation of the university, any individual faculty or school's efforts that may overlap the mission of an Institute shall be evaluated for appropriateness and consideration of coordination with the Institute. The Provost, in consultation with the chief research officer, the appropriate dean, and applicable Institute Director, should determine specific research interests and/or services that may need to align with an Institute, regardless of the origin of the research, program, or service being conducted or offered by any faculty or school in the university. Any decisions on alignment and coordination by the Provost shall be made in an effort to promote coordinated and collaborative research, programming, and services to enhance the mission of the university and to ensure success.

b. **Center** – A Center is a group of faculty and associates, formally recognized and approved by TTUHSC, joined together to pursue research, education, and/or outreach that requires the input from disciplines within a single TTUHSC School. Centers typically will be 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 or his/her designee.

3. **Institutes**

a. Goals – An Institute shall:

- 1) Promote, facilitate, coordinate, and conduct multidisciplinary and interdisciplinary research, service, training, and/or outreach across schools and campuses where possible and with entities outside TTUHSC as appropriate, providing opportunities for as many faculty members as possible;
- 2) Encourage and accelerate the application of knowledge obtained from research, service, and/or outreach to patient care and education;
- 3) Establish and evaluate innovative training and educational programs; and
- 4) Enhance quality and productivity of TTUHSC programs in support and in furtherance of the university's mission.

b. Formation of New Institutes

1) Petition for Consideration

Any TTUHSC faculty member may petition the Dean of his/her School to establish a new Institute. A Dean, in collaboration with the Dean of each participating school, may then petition the Provost to facilitate the evaluation process below. Additionally, members of the President's Cabinet may also recommend the formation of a new Institute by petitioning the Provost to facilitate the evaluation process below. Final approval for any new Institute will be by the TTUHSC President.

2) Proposal Requirements

At a minimum, proposals establishing a new Institute shall include the following elements:

- Overview of the Institute, which includes a general description of the Institute's primary activities; the benefits of the Institute to TTUHSC, university stakeholders, and the broader community; and how the Institute differs from other entities already in existence at TTUHSC;
- Mission statement which aligns clearly with the vision and mission of TTUHSC;
- A strategic plan with appropriate goals, measurable objectives and outcomes, and achievement targets for the initial five (5) year period of operation with a view toward appropriate flexibility over time;
- An organizational structure illustrating the Institute's personnel framework and descriptions of primary job functions;
- A five (5) year business plan which outlines the primary expenses and projected sources of internal and external funding, including information about equitable funding distribution among participating schools and/or faculty and staff members.;
- A description of the functions of an advisory board or committee and the proposed member composition, which may include internal and external stakeholders. The advisory board or committee composition will need to demonstrate appropriateness to support the mission of the Institute.

- A marketing plan (where appropriate) represented in the proposed budget; and
- Estimated Space needs including planned growth.

3) Proposal Evaluation

To evaluate a request for establishment of an Institute, the Provost shall appoint an *ad hoc* committee comprised of individuals from TTUHSC, other academic institutions, or non-academic entities. The *ad hoc* committee members should possess appropriate expertise to evaluate the request for the proposed Institute. Individuals proposing the formation of an Institute may provide recommendations to the Provost of potential *ad hoc* committee members for the Provost's consideration.

In its review of a proposed Institute, the *ad hoc* committee shall assess the proposal for alignment 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 Proposal Requirements, as provided above, as well as the likelihood the proposed Institute will achieve the cited goals.

The *ad hoc* committee shall forward its recommendation to the Provost.

4) Approval

The Provost shall review the *ad hoc* committee's recommendation. After due consideration:

For proposals not recommended for approval by the *ad hoc* committee, the Provost shall ensure congruence with the committee's recommendation before communicating the decision to the petitioner(s).

For proposals recommended for approval by the *ad hoc* committee, the Provost shall ensure the proposal meets the requirements provided herein prior to presenting the recommendation of the committee to the President for a final decision.

If approved by the President, the petitioner(s) will work with the Provost's Office to ensure adherence to Section 04.11, *Regents' Rules*, as applicable as well as communication to the President's Cabinet and other stakeholders as may be appropriate.

c. Governance of an Institute

1) Institute Director

- Institute Directors shall report to the President or designee. This determination shall be made by the President based on the primary mission of the Institute and in alignment with the university's existing governance structure.
- The President will designate an individual to be responsible for facilitating the recruitment and hiring process for an Institute Director in accordance with TTUHSC recruitment and hiring policies and procedures. The search committees shall include at least one faculty member of each School participating in the Institute, a member of the President's Cabinet, and other individuals as appropriate to search for and evaluate candidates for the position. The Search Committee shall present its recommendations to the President's designee for consideration. Before final selection and

appointment, the President's designee shall receive input from the President regarding the candidate(s) under consideration.

- Institute Directors must be a TTUHSC faculty member, unless approved under special circumstances by the President.
- Institute Directors shall be responsible for planning, coordinating, and managing the programs and activities of the Institute.
- It is the responsibility of the Institute Director, in coordination with the President or designee, 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 President or designee. Proposals for external fundraising by the Institute must be approved by the President or designee in coordination with the TTUHSC Office of Institutional Advancement.

2) Institute Advisory Committee or Board

The Institute Director, in coordination with the President or designee, shall appoint an Advisory Committee or Board that may include faculty members from the participating schools, community representatives with expertise related to the Institute, or other individuals as deemed appropriate. The Advisory Committee or Board shall:

- Advise the Institute Director regarding goals and objectives of the Institute;
- Evaluate the Institute's strengths and progress toward achieving goals; and
- Assist with external fundraising necessary for the successful operation of the Institute.

d. Annual Report

- 1) Each Institute shall develop a written annual report outlining progress on the goals and objectives, accomplishments, financial status, and plans for continuous improvement. Reports shall be submitted to the President or designee for review by November 1 each year.
- 2) Following the fifth year of operation, each Institute shall undergo a comprehensive review, as outlined below, which will be provided in lieu of the annual report for that particular year. All reports will be archived by the Office of the Provost.

e. Comprehensive Review

- 1) Every fifth year of operation, or at the discretion of the President, each Institute shall undergo a comprehensive review by an *ad hoc* panel, appointed by the Provost and comprised of individuals from TTUHSC, other academic institutions, or non-academic entities as may be appropriate. Members of the panel must include at least three members of the President's Cabinet. The recommended *ad hoc* panelists should possess appropriate expertise necessary to evaluate the Institute.
- 2) The review should include, but is not limited to, the Institute's structure, mission, achievements, performance of objectives specified in the Institute's strategic plan, financial result, return on investment (when applicable), and other

appropriate criteria, as relevant to internal and external stakeholders. Preparation and presentation of the justification for continuation shall be the responsibility of the Institute Director.

- 3) Once the review is complete, the *ad hoc* panel shall submit its findings and recommendations to the Provost. After due consideration, a recommendation shall be made by the Provost to the President regarding continuation of the Institute. The President shall have the final authority to continue an Institute.

f. Discontinuation of an Institute

- 1) In the event discontinuation of an Institute is recommended by Provost after a comprehensive review, the Institute's Director will have the opportunity to address any concerns raised in the review process. After consideration, the final decision to discontinue an Institute will be made by the President.
- 2) Any Institute not seeking continuation, and after appropriate review by the Provost, shall be automatically dissolved on its sixth anniversary.
- 3) If an Institute is discontinued, the Institute Director or the Advisory Board, as directed by the Provost, will have the responsibility to prepare a discontinuation plan to provide to the President that addresses personnel, space, equipment, supplies, finances, and other administrative matters that would be impacted by the discontinuation.

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 a school and adds value to the school and to TTUHSC;
- 2) Increase interdisciplinary activity between a school and identified partners; and
- 3) Enhance quality and productivity of school faculty members.

b. Formation of New Centers

1) **Petition for Consideration**

Any school's faculty member may petition the Dean of his/her school for approval to establish a new Center. A member of the President's Cabinet may also recommend to the Dean of a school to consider a petition for the approval of a new Center.

2) **Proposal Requirements**

At a minimum, proposals for establishing a new Center shall include the following elements:

- Overview of the Center, which includes a general description of the Center's primary activities; the benefits of the Center to the school, TTUHSC, university stakeholders, and the broader community; and how the Center differs from other entities already in existence at TTUHSC;
- Mission statement which aligns clearly with the vision and mission of TTUHSC and the school;

- A strategic plan with appropriate goals, measurable objectives and outcomes, and achievement targets for the initial five (5) year period of operation with a view toward appropriate flexibility over time;
- An organizational structure illustrating Center's personnel framework and descriptions of primary job functions;
- A five (5) year business plan which outlines the primary expenses and projected sources of internal and external funding, including information about equitable funding distribution among participating academic units and faculty members; and
- Other school-specific requirements, as applicable.

3) Proposal Evaluation

To evaluate a request for establishment of a Center, the Dean shall appoint an *ad hoc* committee comprised of faculty and staff members of the school. The *ad hoc* committee members should possess appropriate expertise to evaluate the request for the proposed Center. Individuals proposing the formation of a Center may provide recommendations to the Dean of potential *ad hoc* committee members for the Dean's consideration.

In its review of a proposed Center, the *ad hoc* committee shall assess the proposal for alignment with the definition of Centers as provided herein and shall also assess the extent to which the plan for the proposed Center addresses the elements set forth in Proposal Requirements, as provided above, as well as the likelihood the proposed Center will achieve the cited goals.

The *ad hoc* Committee shall forward its recommendation to the Dean.

4) Approval

The Dean shall review the *ad hoc* committee's recommendation. After due consideration:

For proposals not recommended for approval by the *ad hoc* committee, the Dean shall ensure congruence with the committee's recommendation before communicating the decision to the petitioner(s).

For proposals recommended for approval by the *ad hoc* committee, the Dean shall ensure the proposal meets the requirements provided herein prior to presenting the recommendation of the committee to the Provost for a final decision.

If approved by the Provost, the petitioner(s) will work with the Provost's Office to ensure adherence to Section 04.11, *Regents' Rules*, as applicable as well as communication to the President's Cabinet and other stakeholders as may be appropriate.

c. Governance of a Center

3) Center Director

- Center Directors shall be appointed by and report to a School's Dean or designee. This determination shall be made by the Dean based on the primary mission of the Center and in alignment with the school's existing governance structure. Before final selection and appointment, the Dean shall have the input of the Provost regarding the candidate(s) under consideration.

- Center Directors must be a TTUHSC faculty member, unless approved under special circumstances by the Provost.
- Center Directors shall be responsible for planning, coordination, and management of the programs and activities of the Center.
- It is the responsibility of the Center Director, in coordination with the Dean or designee, to manage 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 and subject to the ultimate oversight and authority of the Dean or designee. Proposals for external fundraising by the Center must be approved by the Dean and Provost in coordination with the TTUHSC Office of Institutional Advancement.

d. Annual Report

- 1) Each Center shall develop a written annual report outlining progress on the goals and objectives, accomplishments, financial status, and plans for continuous improvement. Reports shall be submitted to the Dean and Provost for review by November 1 each year.
- 2) Following the fifth year of operation, each Center shall undergo a comprehensive review, as outlined below, which will be provided in lieu of the annual report for that particular year. All reports will be archived by the applicable school.

g. Comprehensive Review

- 1) Every fifth year of operation, or at the discretion of the Provost, each Center shall undergo a comprehensive review by an *ad hoc* panel, appointed by the Dean and comprised of individuals from TTUHSC, other academic institutions, or non-academic entities as may be appropriate. The recommended *ad hoc* panelists should possess appropriate expertise necessary to evaluate the Center.
- 2) The review should include, but is not limited to, the Center's structure, mission, achievements, performance of objectives specified in the Center's strategic plan, financial results, return on investment (if applicable), and other appropriate criteria, as relevant to internal and external stakeholders. Preparation and presentation of the justification for continuation shall be the responsibility of the Center Director.
- 3) Once the review is complete, the *ad hoc* panel shall submit its findings and recommendations to the Dean. After due consideration, a recommendation shall be made by the Dean to the Provost regarding continuation of the Center. The Provost shall have the final authority to continue a Center.

h. Discontinuation of a Center

- 1) In the event discontinuation of a Center is recommended by the Dean after a comprehensive review, the Center's Director will have the opportunity to address any concerns raised in the review process. After consideration, the final decision to discontinue a Center will be made by the Provost.
- 2) Any Center not seeking continuation, and after appropriate review by the Provost, shall be automatically dissolved on its sixth anniversary.
- 3) If a Center is discontinued, the Center's Director, as directed by the Dean, will have the responsibility to prepare a discontinuation plan to provide to the Provost

that addresses personnel, space, equipment, supplies, finances, and other administrative matters that would be impacted by the discontinuation.

5. **Academic Course Offerings**

Institutes and Centers may develop and provide educational programs specific to their areas of focus. Courses offered for academic credit (i.e., on-site or via distance education), however, must be approved by the appropriate school(s) and through institution-wide review processes and/or procedures.

6. **Academic Tenure.**

Institutes and Centers benefit from the expertise of faculty participation. However, TTUHSC faculty who participate in an Institute or Center are subject to the authority of the Dean of their respective schools for all matter related to faculty appointments, promotions, and tenure. The contribution of faculty to an Institute or Center should be recognized by the chair of the department of their principal appointment within their school, and TTUHSC should recognize the resulting contribution made by that faculty member.