



TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER EL PASO

Operating Policy and Procedure

HSCEP 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 Texas Tech University Health Sciences Center El Paso (TTUHSCEP).

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

POLICY/PROCEDURE:

1. **General.** Since its inception, the Health Sciences Centers have seen the establishment of numerous institutes and centers that have made important contributions to the accomplishment of the Health Sciences Centers mission and goals. The visibility that a TTUHSCEP 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 institution. TTUHSCEP as a whole, rather than individual faculty or staff members, is responsible for the establishment of TTUHSCEP components. Once approved and established by TTUHSCEP, Institutes and Centers may, because of their organizational structure, be provided with considerable autonomy. TTUHSCEP is ultimately responsible for all its component units, it is essential that it maintain the authority to establish, review, and dissolve components as TTUHSCEP deems appropriate.
2. **Definitions.**
 - a. Institute – TTUHSCEP entities organized for the purpose of 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, staff, and associates from any of the schools or campuses who share a common goal as stated in the mission. Institutes typically will be funded by institutional appropriations, grants or contracts, for which administrative and fiscal control is assigned to the Institute Director who reports to the President or his/her designee.
 - b. Center – A Center is a group of faculty and associates, formally recognized and approved by TTUHSCEP, joined together in a multidisciplinary and/or interdisciplinary fashion to pursue research, education, and/or outreach that requires the input from disciplines within a single TTUHSCEP 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 and training across Schools and campuses where possible and with entities outside TTUHSCEP as appropriate, providing opportunities for as many faculty as possible;

- 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 TTUHSCEP faculty member may petition the Dean of his/her School to establish a new Institute. A Dean, in collaboration with the Dean of each School to participate in the proposed Institute, may then petition the President for approval of the proposed Institute. The administration may also recommend formation of a new Institute by petitioning the President with final approval being given by the TTUHSCEP President. Final approval for any new Institute will be by the TTUHSCEP 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 description of what is unique about the proposed Institute;
 - A description of how the mission and goals will provide a service to TTUHSCEP;
 - A description of the matrices to be used to assess how well the mission and goals of the Institute are being met;
 - A description of the various constituent components and the expectations for the contributions of each;
 - A description of the advisory committee or board and proposed composition; the advisory committee or board will be appropriate for the mission and may include persons from within and outside TTUHSCEP;
 - An organizational chart showing the components and chain of command;
 - A business plan adequate to meet the strategic objectives of the Institute over the expected period of its operation;
 - A plan for 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 TTUHSCEP activities in related fields; and
 - 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 President shall appoint an *ad hoc* Committee comprised of faculty members from TTUHSCEP or other academic institutions or non-academic entities as

recommended by the Dean or Deans of the participating TTUHSCEP 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: a) the elements set forth in paragraph (a) above; b) the extent to which the proposal meets the elements set forth in paragraph (b)(1) above; c) the need within TTUHSCEP for the activities/outcomes proposed; and d) the likelihood the proposed unit will achieve the cited goals. The *ad hoc* Committee shall forward its recommendation to the Provost.
- 4) The President shall consider the advice of the members of the Deans Council regarding the proposed Institute. After due consideration, the President shall make the final decision on the proposed Institute.

c. Governance

- 1) Director
 - The Deans of the Schools participating in the development of the Institute shall be responsible for making a recommendation to the President for selection of the Director of an Institute taking into consideration the individual, if any, suggested in the proposal. The Deans may request from the President to appoint a Search Committee which shall include at least one member of the faculty of each participating School, plus such other persons as the President deems appropriate, to search for and evaluate candidates for the position. The Search Committee shall present its recommendations to the President for consideration and final selection and appointment.
 - Institute Directors shall report to the President or to his/her designee.
 - Institute Directors shall be responsible for planning, coordination, and management of the programs and activities of the Institute.
 - It is the responsibility of the Institute Director in coordination with the President or his/her 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 TTUHSCEP policies and procedures and subject to the ultimate oversight and authority of the President or his/her designee. Proposals for external fundraising by the Institute must be approved by the President or his/her designee in coordination with the TTUHSCEP Office of Institutional Advancement.
 - The Institute Director shall present a written annual progress report for review by the President or his/her designee by September 1 of each calendar year.
- 2) Institute Members – All members of the Institute (including the Institute Director unless under special circumstances with the approval of the President) 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 Committee or Board – The Institute Director, in coordination with the President or his/her designee, shall appoint for the Institute 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 the President or his/her designee deems appropriate. The Advisory Committee or Board shall:

- Advise the Director regarding goals and objectives of the Institute;
- Evaluate the Institute’s academic strengths and progress toward achieving goals; and
- Assist with external fundraising necessary for the successful operation of the Institute in accordance with paragraph (c) (1) above.

d. Review - At least once every five years, or at the discretion of the President, each Institute shall undergo a review by an external expert panel appointed by the President or his/her designee.

e. Discontinuation of an Institute – The President has the authority to discontinue an Institute at any time after a review of structure, mission achievement, performance of objectives specified in the strategic plan, return on investment and other appropriate criteria. The President may choose to appoint an ad hoc review committee that will submit their findings and recommendations. The Executive Director will have the opportunity to address concerns. The final decision will be made by the President or his/her appointee.

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 TTUHSCEP;
- 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 approval of the establishment of a new Center. The administration may also recommend to the Dean of a School that (s)he consider petition for the approval of a new Center.

- 1) Proposals for establishing a new Center shall include at least the following elements:
 - (1) 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;
 - (2) A description of what is unique about the proposed Center;

- (3) A description of how the mission and goals will provide a service to the School and to TTUHSCEP;
 - (4) A description of the matrices to be used to assess how well the mission and goals of the Center are being met;
 - (5) A description of the various constituent components and the expectations for the contributions of each;
 - (6) An organizational chart showing the components and chain of command;
 - (7) A business plan adequate to meet the strategic objectives of the Center over the expected period of its operation;
 - (8) A plan for equitable and appropriate distribution among the Center and participating academic units and faculty members of external or internal funding provided to or obtained by the Center;
 - (9) Consideration of the mission and work of the proposed Center in light of other TTUHSC activities in related fields; and
 - (10) 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 Center 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 shall forward the recommendation to the President or his/her designee to make the final decision on the proposed Center.

c. Governance

- 1) The Dean of the School in which a Center is located shall be responsible for selection of the Director of the Center.
- 2) Center Directors shall report to the Dean or his/her designee.
- 3) Center Directors shall be charged with the planning, coordination, and management of the programs and activities of the Center.
- 4) It is the responsibility of the Center Director with input from the Dean or his/her designee to assess the financial resources necessary to support the Center.
- 5) Center Directors shall have authority for the budgeting and spending of Center funds consistent with TTUHSCEP policies and procedures.
- 6) The Center Director shall present a written annual progress and financial report to the Dean by September 1 of each calendar year.

d. Review - At least once every two years, each Center shall undergo an interim review by

the Dean in which the Center is located.

- e. Discontinuation of a Center – The Dean of the School housing a Center has the authority to discontinue the Center at any time after a review of the structure, mission achievement, performance of objectives specified in the strategic plan, return on investment and other appropriate criteria. The Dean may choose to appoint an *ad hoc* review committee that will submit their findings and recommendations. The Executive Director will have the opportunity to address concerns. The recommendation by the Dean for discontinuation will be submitted to the Council of Deans who will make the final decision.

5. **Sunset Review.** No later than the sixth anniversary following initial approval, each Institute and Center shall receive a sunset review. The review should evaluate the structure, achievement of mission, performance of objectives specified in the strategic plan, the return on investment, information contained in the annual reports, and other appropriate criteria. Preparation and presentation of the justification for continuation shall be the responsibility of the Director of the Institute or Center. The report from an Institute shall be reviewed by the President or his/her designee for final determination and any action required. The report from a Center shall be reviewed by the Dean of the School in which the Center is located for final determination. Any Institute or Center not seeking continuation shall be automatically dissolved on its sixth anniversary.

6. **Academic Course Offerings.**

Institutes and Centers may develop and provide educational programs specific to their focuses and not available as part of the approved curricula. Formal, on-campus courses for degree credit must be approved by the appropriate school. Off-campus courses offered via distance learning must also comply with TTUHSCEP distance learning policies and be appropriately approved.

7. **Academic Tenure.**

A TTUHSCEP 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. The contribution of faculty to an Institute or Center should be recognized by the chair of the department of their principal appointment, and the Administration should recognize the resulting contribution made by that department.