

DUQUESNE UNIVERSITY

ACADEMIC CENTERS AND INSTITUTES

Procedures for Formation, Operation, Evaluation and Dissolution

May 1, 2019

Definitions

For this document the following definitions are provided to ensure clarity of the content.

<i>Academic Support Unit</i>	An entity that provides academic support (often designated as a center, division, facility, library, office, program).
<i>Designation</i>	The label “center” or “institute.”
<i>School</i>	Primary academic entity including its departments, divisions, programs or offices.
<i>Title</i>	The descriptive label of the entity designated as a center or institute.

Purpose of Centers and Institutes

To facilitate the accomplishment of its academic function, the basic administrative organization of the university consists of schools and academic support units. To effectively respond to the myriad of needs and opportunities inherent in a complex university alternative administrative structures such as centers or institutes may be indicated. In the past, centers and institutes were established at Duquesne with varying missions and outcomes. This document provides guidance for the establishment, maintenance, and review of academic centers and institutes.

Centers and institutes founded prior to the 2019/2020 academic year may elect to retain the titles under which they were founded. However, their designation and continuation are subject review and change if indicated. Both extant and newly created centers and institutes will follow the procedures described in this document effective AY 19/20.

Distinction between Centers and Institutes

Reasons for founding a center or institute include, but are not limited to: conduct of intradisciplinary or interdisciplinary scholarly research; service to the community; interdisciplinary educational opportunities; pursuit of a common professional interest; or housing an externally funded initiative. The designation of “center” or “institute” may be dictated by an external funding source which *requires* one designation or the other to be used for an entity created by that resource (e.g., Tribone Center for Clinical Legal Education). Also, several academic support units have traditionally been designated as centers.

In general, however, academic centers do not confer academic degrees or certificates and are associated primarily with research or service activities. Academic institutes confer degrees or certificates and have

sustainable funding for its programs and activities. Academic centers may transition into institutes over time if they begin to offer academic degrees and certificates.

Ordinarily, there should be a relatively bright line differentiating institutes that confer degrees or certificates and centers that do not.

Procedures

Procedures for Formation of Centers or Institutes

A center or institute is formed through the development of a charter by interested faculty and/or administrators. The charter is then considered by the Provost after receiving positive recommendations from Graduate Council (if appropriate) and Academic Council. Thus, the progression of charter developmental and review is: originating faculty/administrators, academic department, Dean, Graduate Council (if graduate level), Academic Council, and Provost or Designate. A proposed charter to form a center or institute should minimally contain the following:

- The requested designation and title;
- A brief executive summary describing its purpose and mission;
- A comprehensive statement of the center/institute's purpose and mission, including its relationship to the mission of the university;
- A 5-year plan with anticipated milestones, deliverables, and non-recurring expenses;
- The proposed organizational structure of the center/institute, including leadership responsible for the activities of the center/institute;
- Institutional oversight and associated reporting lines such as a Dean, Director, or Provost;
- Plans for formation of an advisory group, comprised of internal and/or external stakeholders (Advisory board members normally are not compensated for their participation);
- A statement of how the leadership and advisory board members will be selected and terms of service if appropriate;
- A *proforma* budget, reflecting anticipated revenues and expenditures, consistent with requirements of the Office of Planning and Budget;
- A library and technology impact statement;
- A statement of the resources required/budget narrative for the center/institute, including space, personnel, and materials, including proposed sources of those resources.

Additional Procedures for Institutes Seeking Authorization to Confer New Degrees or Certificates

- If a new academic degree program is being developed concurrently with the center or institute, initiate consultation with the Associate Provost for Academic Affairs and follow the New Program or New Certificate approval procedures.

Identification of External Organizations

Activities that necessitate the formation of an alliance or partnership with an external institution or agency must receive prior written approval of the Provost and appropriate external administrator before such activities are undertaken. Such arrangements normally are codified in a memorandum of understanding.

An annual financial performance review by the Office of Planning and Budget will be conducted of all non-profit 501(c)(3) organizations which purport a formal affiliation with a university center/institute. Organizations using the name or trademark of the university will be required to implement a Memorandum of Understanding with the university detailing specific activities and services, administration and financial resources. Procedures for such work can be obtained from the Office of Research.

Resources of Centers/Institutes

Centers and institutes can be supported from extramural sources, through university operating funds and/or university discretionary funds depending on university agreement when the charter is established. Reassignment of time for university employees must be authorized by the appropriate Dean/Director and/or Provost.

All funds must be received and expended in a manner consistent with the center/institute's charter and with the regulations of the department, school, and the Office of Planning and Budget. Funds received in support of all center/institute activities must be deposited in appropriate university accounts. Outside bank accounts are not permitted under any circumstances. Procedures for grant awards, fee-for-service and corporate/foundation support can be found on the Office of Research and Advancement Office websites. Compensation issues must be consistent with requirements of Human Resources and the Office of Planning and Budget.

Centers and institutes are subject to internal audit.

Period of Operation and Annual Report Requirements

The period of operation for a center or institute is five years. Without renewal of the charter a center's or institute's operations may not extend beyond June 30 of the fifth year following its establishment or last renewal.

Annually by September 1st contemporaneously with the Annual Assessment Report of Student Outcomes the center/institute will provide a written progress report. The report should be guided by and address the status of details in the 5-year plan and statement of financial activities for the preceding fiscal year (July to June). For degree or certificate granting entities an appendix should be included addressing academic outcomes and assessments consistent with guidelines provided on the Academic Learning Outcomes Committee overseen by the Associate Provost for Academic Affairs.

The report should be reviewed by the advisory board prior to submission to the overseeing Dean, Provost, or designee identified by either. Independently, the financial viability of each extant

center/institute will be evaluated annually or more frequently by the Associate Provost for Administration and the Office of Planning and Budget. The Associate Provost for Administration will review all space allocations.

Renewal of Centers and Requests for Approval of Charter Modification

To seek charter renewal, provide the following 30 days prior to charter renewal date:

- The latest written progress report and any associated feedback associated with that review
- Provide any significant updates to the latest written progress report;
- Provide a justification for renewal based on achievements of the 5- year plan and fulfillment of the stated purpose and mission;
- Detail any requested changes to the charter;
- Propose a new 5-year plan with anticipated milestones, deliverables, and non-recurring expenses;
- If awarding degrees or certificates provide the previous 5 years of data on applications, admissions, acceptances, retention, and completion.

Criteria for renewal include:

- Achievement of the goals of the 5-year plan and meaningful and sustained progress toward the fulfillment of the purpose and mission;
- Demonstration of a need for continuation of the center/institute to serve a still relevant purpose and mission;
- Demonstration that the center is not redundant or performing activities provided by other units within the university;
- Evidence the leadership is meeting its fiduciary and ethical responsibility to the center/institute and the broader university.

Responsibilities

Authority and Responsibility of a Center/Institute Director

The director shall be responsible for:

- Oversight of center/institute's activities to ensure achievement of agreed upon mission/goals;
- Consultation with advisory group (if applicable);
- Operation and management of day to day activities and personnel;
- Fiscal accountability;
- Approval of all salary and non-labor expenditures;
- Insuring that fees and expenditures are consistent with university regulations;
- Managing all space, physical arrangements, production of brochures and materials, and other support of programs and scholarly projects;

- Collaboration with relevant external entities;
- Compliance with necessary procedures as defined by the university, PA Department of Education, other governmental entities, funding entities, and/or regulatory review entities.

Responsibility and Authority of an Advisory Group

An advisory group, where appropriate, is expected to recommend general guidelines for all programs and activities as specified in the original approval charter. An advisory group is expected to recommend to the director any activities that it determines will benefit the center/institute, the university, or the community. In general, the advisory group will be a resource to which the director can bring problems for discussion and recommendation. The advisory group is expected to conduct a pre-review of the center/institute's programs and activities to determine whether or not they conform to the purposes stated in its charter and to participate in a post-evaluation.

Responsibility for Maintaining Records on Centers/Institutes including Review Cycles

The Associate Provost for Academic Affairs will be responsible for maintaining records on the active/inactive status of all centers and institutes. Additionally, the Associate Provost for Academic Affairs will track review cycles and provide one notice of the necessity of renew 6 months prior to the charter renewal date.