

## DUQUESNE UNIVERSITY ACADEMIC CENTERS AND INSTITUTES

### Procedures for Formation, Operation, Evaluation and Dissolution

#### *Purpose of Centers and Institutes*

To facilitate the accomplishment of its academic function, the basic administrative organization of the university consists of schools, departments, and interdisciplinary academic programs. These arrangements are appropriate to the primary mission of the university. However, there are other research, educational, creative, and service functions that may be better handled by alternative administrative structures, such as centers or institutes, in order to efficiently respond to emerging needs and opportunities. In the past, centers and institutes have been established at Duquesne with varying missions and outcomes. Centers and institutes which were founded prior to the 2008/2009 academic year will retain the titles under which they were founded. However, both they and newly created centers or institutes will follow the procedures as described below beginning with the 2008/2009 academic year. If center or institute activities result in proposals for new degrees or certificates, the normal process for program approval should be followed as specified in Duquesne University Academic Affairs website.

#### Definition

##### *Distinction between Centers and Institutes*

There may be various reasons for the founding of a center or institute. These include, but are not limited to: conduct of intradisciplinary or interdisciplinary scholarly research; service to the community; interdisciplinary educational opportunities; a structure by which persons can pursue a common professional interest. The title “center” or “institute” may be dictated by a funding source which requires one of the designations to be used for an entity created by that resource. Therefore, while it may seem useful to make a distinction between the two titles, it may be impossible to do so in reality.

Nevertheless, no matter what the title of an entity, there is an important distinction related to the authority of that center or institute regarding the conferral of degrees or certificates. **If a center or institute confers a degree or certificate at the graduate level, it must follow “program approval” and “program closure” procedures as described on the Duquesne University Academic Affairs website (<http://www.academicaffairs.duq.edu/acadpolicy.html>).**

#### Procedures

##### *Procedures for Formation of Centers or Institutes which Do Not Confer Degrees or Certificates*

A center or institute is formed through the development of a charter by interested faculty and administrators and ultimately, by the Provost after consideration by Academic Council. The progression of developmental discussions should proceed as follows: originating faculty/administrators; academic department; dean; Provost; Graduate Council (if graduate level); Academic Council. A proposal to form a center should minimally contain the following:

- The proposed name of the center/institute, appropriate to and descriptive of its purpose and mission
- A comprehensive statement of the center/institute's purpose and mission, including its relationship to the mission of the university
- The proposed organizational structure of the center/institute, including:
  1. leadership responsible for the activities of the unit;
  2. an appropriate advisory group, comprised of faculty and others internally and/or externally (depending on mission);
- A statement of how the leadership and advisory group will be selected. Advisory Board members will not be compensated for their participation;
- A *pro forma* budget, reflecting anticipated revenues and expenditures, consistent with requirements of the Office of Planning and Budget;
- A library impact statement;
- A statement of the resources required for the center/institute, including space, personnel, and materials, including proposed sources of those resources;
- An outline of the center/institute's activities;
- The period of operation; without renewal a center/institute charter cannot extend beyond June 30 of the fifth year following the center/institute's establishment.

#### ***Procedures for Formation of Institutes which Do Confer Degrees or Certificates***

- Follow "Program Approval Procedures" and "Program Closure Procedures" as described on the Academic Affairs web site

#### ***Annual Report for Centers/Institutes***

Annually by August 31, the center/institute leadership shall issue a written progress report, including a financial statement of operations. The report will be distributed to the advisory group, appropriate department chairs, the dean (and if appropriate another administrator in direct line of authority), the Provost, and if Provost deems necessary, Academic Council. The financial report will be prepared in cooperation with the Office of Planning and Budget, and if the proposal is at a graduate level, it should also be reviewed by Graduate Council.

The Annual Report will adhere to requirements as defined by the Provost's Office. An appendix should address academic outcomes and assessments consistent with guidelines provided on the Academic Learning Outcomes (ALOA) website.

#### ***Resources of Centers/Institutes***

Centers and institutes can be supported from extramural sources or through normal university budget processes, depending on university agreement when the charter is established. Reassigned time for personnel may be used to the extent it is consistent with university policies, has approval of the dean of the school in which such personnel have academic appointments, and approval by the Provost. The AAVP for Administration will review all space allocations.

#### ***Dissolution of Centers/Institutes***

A center/institute charter must contain a termination date, which cannot extend beyond June 30 of the fifth year following its establishment or most recent renewal. In the absence of any action to renew the

charter, it will expire on the termination date and its non-grant funded resources will revert to the university.

Aside from the specified termination date, a center/institute may be dissolved at any time through the same process outlined above for Program Closure as described on the Academic Affairs website.

### ***Renewal of Centers and Institutes and Requests for Approval of Charter Modification***

Centers/institutes whose charters have expired may not continue activities. Those seeking recharter must:

- Submit a proposal 30 or 60 days PRIOR to the charter termination date;
- Provide updated information on activities;
- Include a justification for the proposed renewal and a new date of the termination if renewal is approved;
- Engage in the re-charter process in the same manner as the proposal for the original charter.

Criteria for renewal include:

- Evidence describing the extent to which the center/institute fulfilled its original and subsequent objectives, and the extent to which its operation has conformed to these guidelines;
- Demonstration that the center/institute is not redundant or performing activities provided by other units within the university;
- Approval from all parties identified in the original process;
- Fiscally sound.

### ***Identification of Non-Profit Organizations***

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 Agreement with the university detailing specific activities and services, administration and financial resources. Procedures for such work can be found on the Office of Research website.

## **Responsibilities**

### ***Responsibility for Handling Center/Institute Funds***

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.

### ***Responsibility for Center/Institute Activities***

The Provost or Associate Provost for Academic Affairs will be responsible for reviewing and approving center/institute activities to ensure that they:

- Contribute to fulfillment of the mission of the university and entity;
- Are consistent with generally accepted tenets of scholarship (e.g. subject to peer and IRB review) as appropriate;
- Are in conformity with all applicable laws and regulations and with the campus risk management policy;
- Are consistent with the charter of the center/institute;
- Do not compromise the autonomy of the university;
- Adhere to university policy governing research conduct (See: Academic Integrity, Intellectual Property, Ethics Reporting, Copyright).

Activities that necessitate the formation of an alliance or partnership with an external unit or agency must receive prior written approval of the Provost and appropriate external administrator before such activities are undertaken.

### ***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 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.

### ***Right to Audit***

The Office of Internal Auditing will audit all centers/institutes.