

Policies and Procedures

<i>SECTION:</i> Academic Concerns	<i>NO.</i> 4.1.1.		
<i>CHAPTER:</i> General	<i>ISSUED:</i> 9/16/82	<i>REV. A</i> 5/18/94	<i>REV. B</i> 05/03/2022
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INTRODUCTION

Higher education continues to evolve and be challenged by complex societal problems that require multi-disciplinary perspectives and interprofessional activities. Educational activities of universities are traditionally carried out through schools, colleges, or departments. The traditional organizational structure is not always the optimal mode of organizing university activity for meeting contemporary societal needs. Structures that facilitate the bringing together of scholars and facilitate preparation of students to engage in interdisciplinary/interprofessional research, scholarship, clinical practice, teaching and service activities are required. “Institutes” or “centers” are academic units established to provide the flexibility to carry out these activities to support the University mission and goals.

INTENT OF THIS POLICY

This policy is intended to accomplish the following: (1) to establish guidelines for creating new institutes and new centers at Creighton University; (2) to establish guidelines for periodic review of the effectiveness of an institute/center, with mechanisms for recognizing and rewarding exemplary efforts, as well as for terminating institutes/centers that have outlived their appropriate functions; (3) to establish administrative accountability and reporting procedures for institutes/centers; and (4) to establish a framework which will regulate Creighton's support of institutes/centers.

PURPOSE

Institutes and centers are established to contribute to the mission and goals of the University and, in particular, should provide a significant opportunity to advance the scholarly, scientific, artistic, professional, or technological aspects of important fields. They must provide faculty, students, and other scholars with added capacity for research, clinical instruction, or other learning opportunities, facilities, and assistance. They should strengthen interdisciplinary or interprofessional programs of research, scholarship, teaching, and service conducted by the faculty. Ideally, they will embody a spirit of innovation, benefiting undergraduate, graduate, and professional education and research, making contributions to scholarship and service that extend to the wider society.

DEFINITIONS

Institutes

Institutes are organized and structured around broad-ranging, interdisciplinary education, research and/or service activities. Institutes are typically autonomous units, that report directly to the Provost and not aligned with a single school/college or department.

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An institute may not have sole jurisdiction over courses and curricula and cannot offer courses for credit toward a degree without co-sponsorship by a department. An institute may not separately admit graduate or undergraduate students, nor may it function independently of other schools or colleges as a degree-granting unit of the University. However, an institute may perform other academic functions ordinarily carried out by departments, e.g., organize research conferences and meetings, advise on curricula, help professors provide guidance for students, and/or manage interdisciplinary instruction. They may serve as formalized link between the academic community and the professional community. They may engage in efforts to attract external funding.

Centers

Centers are organized and structured around well-defined, highly focused, interdisciplinary/interprofessional education, research, scholarship and/or service activities. Centers are generally not autonomous units, but usually aligned with a school/college or department and report to the school/college or department administrators. A center may cross school/college lines and report to a senior academic officer. A center may not admit graduate or undergraduate students and it may not have sole jurisdiction over courses and curricula and cannot offer courses for credit toward a degree without co-sponsorship by a department. A center may perform academic functions ordinarily carried out by departments, e.g., organize research conferences. They may serve as formalized link between the academic community and the professional community. They may engage in efforts to attract external funding.

AUTHORITY

Institutes shall be established by the Provost. Centers may be established by a Dean with approval of the Provost. Administration of institutes and centers is delegated by the Provost, or the involved Dean in the case of centers, to the appropriate administrator. No institute/center may be established until review as herein prescribed has been completed, nor may an institute/center be continued without periodic review. The regular schedule for review will be maintained in the Provost's office and will be supervised by the Provost or Provost's designee; however, the Provost may request a review of a center or institute at any time. Petition for major reorganizations affecting institutes/centers shall be made to the Provost and involved Deans. Authority for final approval rests with the Provost.

ADMINISTRATION

The chief administrator of an institute or center is appointed by the Provost or involved Dean(s) (if applicable). Rules governing the establishment, approval, funding, operation, and review of the institutes and centers; appointment and review of institute or center administrators; personnel matters; and all policies and procedures relating to institutes and centers, shall be issued by the Provost or involved Dean(s) in the case of centers, after consultation as outlined in the Administrative Procedures section.

FUNDING

The activities of an institute or center may be funded by internal budgetary allocations, by extramural funds sought for that purpose, or both.

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APPOINTMENTS IN INSTITUTES AND CENTERS

Institutes

As a result of Institutes being affiliated with a school/college or the university, faculty may have a secondary appointment in an institute, although such an appointment is not required for faculty to have affiliation or participation in the institute's activities. Such appointments are at the discretion of the respective department chair(s), dean(s), with final approval granted by the Provost. An institute may not recommend or confer the titles Assistant or Associate Professor or Professor, although persons holding such title by virtue of other University appointments may be compensated by the institute for that portion of their formal effort devoted to the institute.

Centers

As a result of Centers being affiliated with a school/college or the university, faculty may hold a secondary appointment in a center, although such an appointment is not required for faculty to have affiliation or participation in the institute's activities. Such appointments are at the discretion of the respective department chair(s) and dean(s). A center may not recommend or confer the titles Assistant or Associate Professor or Professor, although persons holding such title by virtue of other University appointments may be compensated by the center for that portion of their formal effort devoted to the center.

BUDGETARY SUPPORT

Usual University budgetary process and procedures will apply to institutes/centers, just as they do to the departments and schools or colleges.

PROCEDURE TO ESTABLISH AN INSTITUTE OR CENTER

Certain procedures must be followed to establish a new institute or a new center. The primary function of these procedures is three-fold: (1) to ensure that a full measure of consultation with all concerned elements of the University has occurred, (2) to ensure that the proposal has merit, and (3) to ensure that the proposal does not conflict with the mission and goals of the University.

Written proposals requesting the establishment of a new institute or center may originate with any element of the University.

The proposal shall contain at least the following:

- A description of the purpose of the institute or center and the knowledge, service, and/or instruction that the institute or center may be expected to contribute.

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- A description of the proposed goals and outcomes for the institute and center as well as how those goals and outcomes will be concretely measured and monitored in any future periodic review.
- A description of the extent to which the proposed institute or center would duplicate the work of other institutes or centers and departments of the University.
- A description of similar organizations at other universities.
- Names of faculty members who are interested in participating in the institute's or center's activities.
- A statement about anticipated effects of the proposed institute or center on the teaching programs of the participating faculty members' departments.
- Budget estimates for the first three years of operation and projections for years four-five. Development of the budget must be supported and completed by the finance partner for the Provost area as applicable.
- Sources of funding, relationships between the members of the institute or center and the funding source, and any restrictions imposed by these sources.
- A statement about immediate space needs and realistic projections of future space needs.
- A statement of any other needs such as including but not limited to capital equipment and library resources.

Such proposals shall be submitted through the appropriate Dean(s) to the Provost, who will organize an ad hoc review of administrative aspects of the proposal. This review will include the comments and recommendations of the involved Dean(s). At his/her discretion, the Provost or designee may find it effective to consult with other sectors within the institution. This review shall be assembled from these various sources by the Provost or designee. The review shall pay particular attention to the following matters:

- That space and University resources sufficient to meet the projected needs of the institute or center can be reasonably expected to exist.
- That the source and solicitation of funding have been considered within the context of the University's overall interests.
- That the purposes to be served are consistent with the mission, goals, needs, and priorities of the University and do not inappropriately duplicate existing programs.
- That there is a sufficient plan for sustainability of the center/institute.

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- That assurances exist that no donor or grantor shall have control over a program or project beyond that implied by mutually agreed-upon requirements for financial accountability and reporting.
- That no conditions are attached to any gift, grant, or contract that would in any way jeopardize the University's commitment to the principles of academic freedom, nondiscrimination, and the free dissemination of research results.
- That all proposed appointments are made in accord with established University procedures.

At this same time the Provost or designee shall also organize a review of the academic aspects of the proposal. For this purpose, s/he shall gather an ad hoc group knowledgeable in the general areas related to the proposed institute. This ad hoc group shall prepare a written report paying particular attention to the following matters:

- That the proposed institute or center is an academically worthy one, consistent with the mission of the University;
- That the goals and outcomes proposed are reasonable and attainable; and
- That the proposed institute or center conforms to the Purposes as outlined herein.

It is also important that the larger University community be aware of the proposed creation of such new institutes or centers. The Provost shall formally inform the following bodies that the creation of a new unit is under study:

1. The Academic Administrators Council
2. The President's Council
3. The Academic Council

The proposal, the administrative review, the ad hoc review by experts, and other information that may be gathered form the basis for the recommendation to create a new institute or center.

PROCEDURES FOR APPOINTING A DIRECTOR

The Director of an institute or center is appointed by the Provost after consultation with the members or prospective members of the institute or center, appropriate faculty members, and the administrative officer(s) to whom the Director will report, and where appropriate, on the recommendation and with the concurrence of the appropriate Dean(s).

PROCEDURE FOR REVIEW OF INSTITUTES AND CENTERS

The Provost shall conduct a review of each institute or center at intervals of five years or less. In conducting this review, the Provost shall seek the advice of an ad hoc committee of persons familiar with the academic areas within which the institute or center works, and of the administrative officer to whom it reports. The Provost reserves the right to engage external experts to participate as may be deemed necessary or helpful.

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A major basis for reviewing institutes and centers shall be examination of documents routinely prepared by the institute or center in the course of its usual activities, such as final reports to sponsors and/or annual documents submitted to the University as part of the budget process. Other forms of evaluation or assessment should also be provided to determine the institute/center's overall impact and effectiveness in fulfilling its purpose. These will be evaluated to determine the extent to which an institute or center is meeting its stated goals and objectives. A portion of all reviews will examine the financial performance of the institute/center. Each review shall make a recommendation about the institute's or center's establishment or continuance; it may also suggest changes.

The review committee shall transmit its report and recommendations to the Provost, with copies to the Director of the institute or center and to the administrative officer to whom the institute or center reports. Each of the latter may, if they wish, transmit written comments on the review and recommendation to the Provost. If, in the Provost's judgment, circumstances warrant discontinuance of the institute or center, such discontinuance is referred to the President for final action.

When a decision is made to discontinue an institute or center, sufficient time should be provided to insure an orderly termination or transfer of contractual obligations and other programs. Discontinuance of an institute or center shall take place through phased reductions in program activities and in such University, support as may exist, over a period not normally to exceed one year from the date of decision by the Provost to discontinue.

The Director of the center/institute serves at the pleasure of the Dean/Provost. The effectiveness of each Director shall be reviewed annually by the designated supervisor, following a similar procedure as for the center/institute review. If the center or institute is to be continued, the decision whether to continue the appointment of the Director is made in consultation by the Provost with respective Dean(s).

REPORTS

Annually, each institute or center shall submit a report to the officer to whom it is responsible, with copies for the Provost. This report shall include:

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- Information deemed relevant to the evaluation of an institute's or center's effectiveness and its progress in meeting its stated goals and outcomes, including research, service and/or teaching accomplishments, accomplishment of the unit's goals, and projection of plans to enhance meeting its stated goals and outcomes.
- Other evidence demonstrating impact on the university and the broader community.
- Numbers and FTE's of professional, technical, administrative, and clerical personnel employed.
- Expenditures.

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- Description and amount of space currently occupied.

Additional Criteria are Required for Institutes (may be included with Centers, as relevant):

- Number of faculty members engaged in the institute's program or its supervision and information about their efforts and activities.
- List of publications by the institute's staff.
- List of external grants submitted as a result of the center/institute.
- List of external grants funded as a result of the center/institute.
- Sources and amounts (on an annual basis) of support funds.
- Numbers of students at all levels involved in the institute's work, and descriptions of their participation.

AMENDMENTS OR TERMINATION OF POLICY

The University reserves the right to modify, amend or terminate this policy at any time.