

GUIDELINES FOR ESTABLISHING AN ACADEMIC CENTER OR INSTITUTE

(Revised August 30, 2017)

Creation of an academic center or institute may further education, promote research and inform policy and service activities. The decision to establish an academic center or institute strategically focuses university efforts and reputation, and therefore, is directed by a disciplined process. The following guidelines specify the protocol required for the provisional establishment of a center or institute (first step) as well as the permanent establishment of the same (second and final step).

Definition of a Center:

A center is defined as a single or multi-disciplinary unit organized to conduct education, research and/or service activities. Centers are characterized by organizational permanency, programmatic autonomy, and an annual operating budget fiscally independent of other academic units. A center must have active involvement by faculty and have a logical connection with the instructional and/or research efforts of the university. In contrast to an institute, a center is characterized by less programmatic autonomy and less independence relative to the annual operating budget of the sponsoring department or college. A center normally resides in a college and reports to the academic dean.

Definition of an Institute:

An institute is defined as a single or multi-disciplinary unit organized to conduct education, research and/or service activities. Institutes are characterized by organizational permanency, programmatic autonomy, and an annual operating budget fiscally independent of other academic units. An institute must have active involvement by faculty and have a logical connection with the instructional and/or research efforts of the university. An institute reports to the Provost or Vice President for Research and Innovation or their designee. An institute may have one or more centers affiliated with it.

Establishing a center or institute:

Provisional establishment: The first step in establishing a center or institute is to gain provisional approval. This requires the creation of a concept paper, which should include:

1. The focus and impact of the entity: what is its purpose, who will participate and what will it bring to the unit, division, college, campus, academia and/or the greater good?
2. The rationale behind this entity: why does it belong at Marquette and how will it further the unit's, division's, college's and/ or campus' goals?
3. The financial impact: what will be needed to support this center/ institute? What are the estimated costs and what are the funding sources?
4. Support letters from the appropriate administrators, i.e. department chair, dean, etc.

The concept paper is to be submitted to:

The Dean, initially, who will either reject or accept the proposal, with justification, in an official letter to the proposer. If accepted, the proposal goes to the Vice Provost for

Academic Planning, with the Dean's letter. The Provost and President will consider the proposal and either accept or reject it, with justification, in an official letter from the Office of the Provost to the proposer and the Dean.

If the concept paper is accepted, which will be indicated by a formal letter from the Office of the Provost, the center or institute may establish itself, provisionally. The flow chart for provisional approval is as depicted in attachment 3.

The center or institute is given 1-2 years (as determined by the Provost and President) to solidify itself and to apply for permanent establishment, using the following process:

Permanent Establishment of a Center or Institute:

The permanent establishment of a new center or institute requires a four-part proposal: a) description of the center or institute, which includes a detailed conceptual description and faculty strengths; b) financial analysis; c) organizational plan; d) evaluation criteria; e) support letters.

A. Description of the Center or Institute

The description should consist of the following elements:

- Goals and objectives;
- purpose and relationship to the mission and strategic plan of the University;
- congruence with the programs of the academic unit(s);
- distinctiveness and rationale for the center or institute;
- identified faculty strengths related to the center or institute.

B. Budget Analysis

All proposals for a new center or institute must identify long term funding sources. The analysis is intended to focus on the impact of the revenues and costs for the new center or institute. The budget projection worksheet should indicate all funding sources used to support all direct, indirect, and occupancy costs. Unless supported by a major endowment, multiple funding sources are preferable since they provide the unit with greater long-term flexibility and security.

The financial analysis should consist of the following elements:

A three-year budget projection using the budget projection worksheet (attachment 1) with revenues by funding source and expenditures by category.

A narrative statement which supports the budget projection worksheet explaining:

- the assumptions and factors used to produce the revenue and expenditure projections (e.g., indicate the type of grant support and how that funding is secured);
- anticipated space and facility requirements;
- plan for self-sufficiency;
- a statement identifying long term funding for sustainability.

C. Organizational Plan

Include an organization plan for the center or institute.

D. Evaluation criteria

The proposal for the new center or institute, at a minimum, should indicate the kind of evidence that will be used for evaluating progress in the following areas:

- achieving unit goals and objectives
- instructional, research, and service outcomes
- financial performance
- organizational effectiveness

E. Support Letters

Support letters are required:

Center: Dean and involved department chairs.
Institute: All involved deans.

Proposal Submission Date

If university resources are to be considered as a portion of funding, then the completed proposal must be submitted by July 1 to be considered for implementation in the upcoming fiscal year. A center or institute which are fully supported by external funding are not restricted by the July 1 deadline.

Center/Institute Proposal Approval Sequence

The approval flow for the proposal of a new center or institute once the Provost has given provisional approval is as follows (attachment 3):

1. The proposal for a new center or institute is submitted to the Office of the Provost. Once determined complete, the Office of Finance will conduct a financial analysis. The Office of the Provost will review for congruence with strategic direction.
2. The proposal is then submitted to the University Academic Senate for approval.
3. If approved the proposal is forwarded to the Provost and President for approval.
4. If approved the Board of Trustees will be informed.

The Office of the Provost will notify University Advancement, Office of Marketing and Communications and other units as appropriate.

Review Process

1. Centers and Institutes are required to submit an annual report as determined annually. Centers will submit annual reports to the appropriate dean and institutes to the Office of

the Provost. The report shall provide an overview of the center/institute accomplishments and a detailed financial statement.

2. A center or institute is often created to capitalize upon an emerging opportunity whose factors and circumstances may change over time, any new institute or center will be subject to scrutiny in the University's program review process. A new center or institute must apply for renewal three years after being established. Thereafter, centers or institutes must be renewed every six years.
3. Centers or institutes which lose funding source(s) and are unable to obtain new funding source(s) will be terminated. Notification of pending termination is given to the University Academic Senate, Provost, and President three months prior to termination date.

Current Centers or Institutes

All current centers and institutes will be assessed for compliance with the new definitions for institutes and centers. Based upon the review, current centers and institutes will either be approved, discontinued, or modified. Centers or institutes will be put on a 6-year renewal cycle.

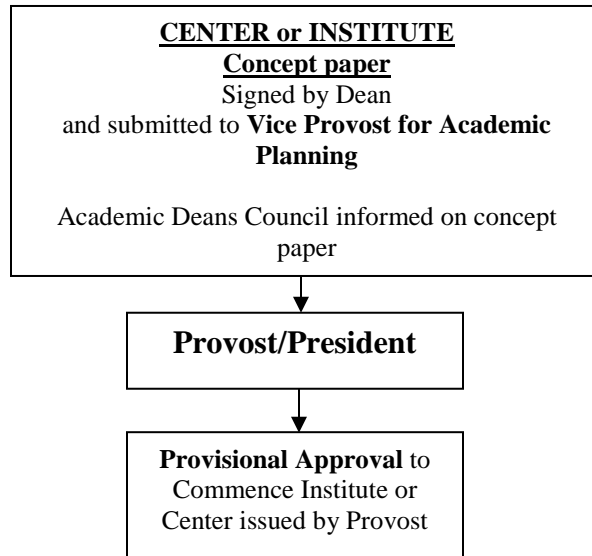
**THREE-YEAR BUDGET WORKSHEET
CENTER / INSTITUTE PROPOSAL
ATTACHMENT 1**

	Year 1 _____	Year 2 _____	Year 3 _____
Revenues			
Gifts-Unrestricted			
Gifts-Restricted			
Grants			
Other Income (Specify)			
<u>Total Revenues</u>			
Personnel Expenses			
Faculty Salaries			
Administrator Salaries			
Support Staff Salaries			
Student Personnel			
<u>Total Personnel Expenses</u>			
Fringe Benefits			
Non-Personnel Expenses			
Supplies			
Travel			
Other (Specify)			
<u>Total Non-Personnel Expenses</u>			
<u>Sub-Total Expenses</u>			
Indirect Expenses			
(from Finance)			
Capital Equipment			
Over \$5,000			
Construction//Renovation			
Information/Technology			
<u>Total Capital Equipment</u>			
<u>Total Expenses</u>			
<u>Net Results</u>			

Important: For each expense item provide detailed explanation with justification of the expense on attached separate page.

Flow Chart for Provisional Approval of Center or Institute

PROVISIONAL APPROVAL CONCEPT PAPER



Flow Chart for Approval of Center or Institute

PERMANENT APPROVAL
Within 1-2 years of receiving Provisional Approval

