

GUIDELINES FOR ESTABLISHING AN ACADEMIC CENTER OR INSTITUTE **(Revised March 22, 2021)**

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 multidisciplinary 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 multidisciplinary 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 an academic center or institute: why does it belong at Marquette and how will it further the units, divisions, colleges 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 Assistant Provost and

Chief of Staff to the Provost 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 letter fo

C. Organizational Plan

Include an organization plan for the center or institute.

D. Evaluation criteria

The proposal for the new center or institute, as 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 ~~ap~~ ~~o~~ ~~o~~ ~~f~~ ~~f~~ ~~u~~ ~~n~~ ~~d~~ ~~i~~ ~~n~~ ~~g~~ ~~i~~ ~~n~~ ~~g~~, 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 ~~ce~~ ~~n~~ ~~t~~ ~~e~~ ~~r~~ 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~~ ~~a~~ ~~p~~ ~~p~~ ~~r~~ ~~o~~ ~~p~~ ~~r~~ ~~i~~ ~~a~~ ~~t~~ ~~e~~.

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 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 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.

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**

FINANCIAL ANALYSIS

**Assistant Provost for
Budget & Division
Operations**

Coordinates with
Office of Finance