

UNIVERSITY of HOUSTON
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: Academic Affairs
AREA: General

Number: 12.03.03

SUBJECT: Procedures for Establishing and Operating Academic Institutes and Centers

I. PURPOSE AND SCOPE

The purpose of this document is to define and set forth minimum criteria for the creation and oversight of centers and institutes that are created within an academic department or college; these are distinct from centers and institutes that are created within the auspices of the Division of Research.

II. DEFINITIONS

A. Center or Institute – An academic center or institute, for the purposes of this MAPP, is a non-profit organization based at the University of Houston within a specific department or college, and whose primary purpose is instruction with other activities possible, such as research, student services, and public programs. This MAPP does not pertain to research centers and institutes for which approval and oversight are provided by the Research and Scholarship Committee of the Faculty Senate, in concert with the Division of Research and Technology Transfer.

B. The Committee on Academic Centers and Institutes will be appointed by the Senior Vice President for Academic Affairs and Provost.

Note: Committee will consist of five faculty members appointed from those nominated by college deans and the Faculty Senate who will serve a two-year term.

C. Bylaws – Bylaws must include rules governing faculty membership, the selection and role of a faculty advisory council for the governance of the academic center or institute, rules governing to whom the academic center/institute reports, how the director is chosen, appointed, and terminated, statements on financial accountability and responsibility for the operations of the center, and procedures for changing the bylaws.

D. Written Operating Procedures – Written operating procedures must include procedures governing reporting lines, rules on financial accountability and responsibility for operations of the center, procedures for the appointment and termination of employees, members, and directors, and the frequency of meetings of officers.

E. Closure – Cessation of operation and discontinuation of the use of the center name.

III. CREATION OF CENTER OR INSTITUTE

A. To establish a new center or institute, a group of faculty members must develop a proposal that includes the following:

1. A statement of objectives;

2. A list of faculty and other participants;
 3. An indication of how the center/institute will be funded;
 4. Statements on who the center will report to, both financially and administratively;
 5. Any requirements, space, or other university assistance; and
 6. A set of bylaws or written operating procedures which have been agreed to by the prospective members.
- B. The proposal must be approved by the appropriate department chair(s) and dean(s) of the department(s)/college(s) involved, and by the Senior Vice President for Academic Affairs and Provost after receiving an advisory recommendation from the Committee on Academic Centers and Institutes.

IV. ADMINISTRATIVE ORGANIZATION

- A. A director shall be selected to be the administrative head of the center/institute.
- B. Each academic center/institute must have bylaws or written operating procedures.
- C. The director must ensure that information on work performed by members of the center/institute is available, whenever necessary, to the appropriate administrators, department heads, and deans for deciding on increments, salary adjustments, promotions, and tenure.
- D. All academic centers and institutes must conform to the university's rules and regulations relating to personnel, property, and financial accounting.
- E. Responsibility for the business administration of any academic center will be to a single college, to be identified in the proposal for the creation of the center. If more than one college is represented by the faculty participating in a center, the deans of the participating colleges will agree to the responsible college and notify the Provost of that agreement. The chief business officer of the college will ensure that the center organization's business administration complies with the requirements documented in [MAPP 01.02.01, Business Administration](#).
- F. Notice of financial and human resources matters affecting a center member will be provided to the member's department chair or dean, and the approval of the department chair or dean will be obtained.
- G. An annual report of activities must be produced, including a financial statement. This report must be sent to the center/institute members, the department chair(s), dean(s), and the Senior Vice President for Academic Affairs and Provost, The University will consider providing financial or other assistance to the center/institute for the following academic year based on this report. Annual reports must be submitted by October 1st of each year.
 1. The Senior Vice President for Academic Affairs and Provost will present all reports to the Committee for Academic Centers and Institutes for review.

2. The Committee for Academic Centers and Institutes will provide a report of its deliberations and recommendations to the Senior Vice President for Academic Affairs and Provost.

V. PROPERTY DEVELOPED AND USED

The members of each academic center and institute, where appropriate, shall develop internal guidelines or agreements on the property developed or used by the center. These agreements must conform to existing university rules and regulations and cover possible questions involving:

- A. Use of equipment and space;
- B. Copyrights, patents, royalties, and other intellectual rights; and
- C. Commissions, consulting, and service agreements based on work developed under the auspices of the center/institute.

VI. SUNSET REVIEW AND CLOSURE

- A. The Committee on Academic Centers and Institutes will develop and provide to each center and institute with the procedures for these reviews. These procedures will include a list of items and questions to be considered in the review process.
- B. Each academic center/institute will be reviewed every four years by the Committee on Academic Centers and Institutes.
- C. The guidelines for termination of academic centers and institutes shall include:
 1. An academic center or institute may be voluntarily terminated by the relevant administrative body or director.
 2. An academic center or institute is terminated due to lack of activity, faculty departure, or other indications that the academic center or institute is not active.
 3. An academic center or institute may be terminated due to significant lack of productivity in terms of scholarly activities (articles, books, etc.) and/or submitted grants, if applicable. In addition, if training is a goal, lack of participation of trainees may also be grounds for termination of the academic center or institute.
 4. An academic center or institute may be terminated due to a significant reduction in faculty support of the academic center or institute evidenced by a decline in faculty participation and resource sharing (e.g., if applicable, credit splits to support the organization).
 5. An academic center or institute may be terminated due to evidence of problems with leadership or support because there is no named director, a failure to respond to questions, a failure to provide the required progress reports, and/or a discontinuance of departmental or college support.
 6. An academic center or institute may be terminated due to lack of financial viability.

- 7. An academic center or institute may be terminated due to evidence of financial misconduct, academic/scientific misconduct, and/or related ethical misconduct or financial mismanagement.
- 8. An academic center or institute may be terminated due to failure to meet established goals for external support or return on investment, especially if the organization received startup funds or other sources of support from the University.
- 9. An academic center or institute may be terminated due to duplication of efforts or other indications that the organization is redundant.
- D. An academic center or institute may be terminated due to space utilization that is not commensurate with the level of activity if attempts at relocation have not been successful. After each such review, the Committee on Academic Centers and Institutes will report to the Senior Vice President for Academic Affairs and Provost and will also recommend whether or not a center or institute will remain on the list of recognized centers and institutes.

VII. REVIEW AND RESPONSIBILITY

Responsible Party: Senior Vice President for Academic Affairs and Provost

Review: Every three years on or before August 31

VIII. APPROVAL

~~Paula Short~~
~~Interim~~ Senior Vice President for Academic Affairs and Provost

~~Carl Carlucci~~
~~Executive-Senior~~ Vice President for Administration and Finance

~~Renu Khator~~
President

Date of President's Approval: ~~April 29, 2013~~

IX. REFERENCES

[MAPP 01.02.01](#) – Business Administration

REVISION LOG

Revision Number	Approved Date	Description of Changes
1	04/29/2013	Initial version (this policy was developed as a response to an audit of the Texas Learning and Computation Center)
<u>2</u>	<u>TBD</u>	