

## **GUIDELINES FOR ESTABLISHING AN ACADEMIC INSTITUTE OR CENTER**

### **Introduction:**

Creation of an academic institute or center may further education, promote research and inform policy and service activities. The decision to establish an academic institute or center strategically focuses university efforts and reputation and therefore, is directed by a disciplined process. The following guidelines specify the protocol required for developing a proposal and seeking approval for an institute or center. To hold the designation of a Marquette institute or center an entity must conform to the definitions and have the approval of the Academic Senate, the Provost, and President.

### **Definition of 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. Institutes report to the Provost or Vice President for Research and Innovation or their designee. An institute may have one or more centers affiliated with it. An institute must have active involvement by faculty and have a logical connection with the instructional and/or research efforts of the university.

Proposals for institutes will provide a detailed description that must include: a statement of goals and objectives, a compelling rationale that current university structure cannot achieve these goals and objectives, an articulation of the distinctiveness of the proposed institution, and a detailed description of the learning, research and/or service outcomes. An institute must have sustainable funding from approved funding sources. The budget is expected to detail the independent support of all direct and indirect cost for the first three years and plan for future sustainability. Institutes will engage in periodic evaluations and participate in the university internal review processes.

### **Definition of a Center:**

A center is defined as a single or multi-disciplinary unit organized to conduct education, research and/or service activities. In contrast to institutes, centers are 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. Centers may also affiliate with an institute. A center must have active involvement by faculty and a logical connection with the instructional and/or research efforts of the department or college.

Proposals for a center will provide a detailed description that must include: a statement of goals and objectives, a compelling rationale that current campus structures cannot achieve these goals and objectives, an articulation of the distinctiveness of the proposed center, and a detailed description of the learning, research and/or service outcomes. A center must have sustainable funding from approved funding sources and its budget is expected to detail support for all direct and indirect cost within the first three years. Centers will engage in periodic evaluations and participate in the university internal review processes.

## **Pre-proposal**

The approval of a new center or institute is highly selective. Before preparing a proposal faculty or other individuals should submit a brief concept paper to the Dean for a center or the Provost for an institute. The paper should indicate the focus, a brief rationale and proposed funding sources.

- A. The formal response letter indicates whether or not a full proposal is invited.
  1. Institutes: Provost will determine acceptability of concept in formal response letter.
  2. Centers: Dean provides recommendation to provost on approving the concept. Provost will determine acceptability of concept in formal response letter.
- B. Financial Sustainability.

Prior to the Provost issuing the formal response letter inviting a full proposal, the Office of the Provost will request a determination on the likelihood of generating the proposed revenue from University Advancement or other appropriate units.

## **Proposal**

The proposal for a new institute or center is composed of four parts a) description, which includes a detailed conceptual description and faculty strengths; b) financial analysis; c) organizational plan; d) support letters.

### **A. Description of the Proposed Institute or Center**

The description should consist of the following elements:

- Purpose and relationship to the mission and strategic plan of the University;
- congruence with the programs of the academic unit(s);
- goals and objectives;
- distinctiveness and rationale for the institute or center;
- identified faculty strengths related to the institute or center;
- description of funding resources;
- administrative support requirements including support staff;
- infrastructure plan to support institute or center including facilities and requirements for informational technology;
- time line and scheduling for the new entity;
- impact on other existing institutes or centers or academic units;
- special needs.

## **B. Financial Analysis**

1. All proposals for a new institute or center must identify long term funding sources. The analysis is intended to focus on the impact of the new institute or center revenues and costs. 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.
2. 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 institute or center.

## **D. Support Letters**

Support letters are required:

- Institutes: All involved deans.
- Centers: Deans and involved department chairs.

## **E. Proposal Submission Date**

If university resources are to be considered as a portion of start-up funding, then the completed proposal must be submitted by October 15 to be considered for implementation in the upcoming fiscal year. Institutes or centers which are fully supported by external funding are not restricted by the October 15 deadline.

## **Review Process**

1. Institutes and centers (via Dean) are required to submit an annual report by August 1 of each year to the Office of the Provost. The report shall provide an overview of the institute/center accomplishments and a detailed financial statement.
2. An institute or center 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 close scrutiny in the University's program review process. A new institute or center will be reviewed three years after being established and every six years thereafter. The proposal for the new institute or center 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
3. Institutes or centers 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 Academic Senate, Provost, and President three months prior to termination date.

### **Institute/Center Proposal Approval Sequence**

The approval flow for the proposal of a new institute or center once the Provost has approved the concept is as follows (attachment 2):

- The proposal with attached and signed cover sheet (attachment 3) for a new institute or center 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.
- The proposal is then submitted to the Academic Senate for approval.
- If approved the proposal is forwarded to the Provost and President for approval. If approved the Board of Trustees will be informed.
- The Provost provides a formal letter of approval.
- After approval the Office of the Provost will notify University Advancement, Office of Marketing and Communications and other units as appropriate.

### **Current Centers or Institutes**

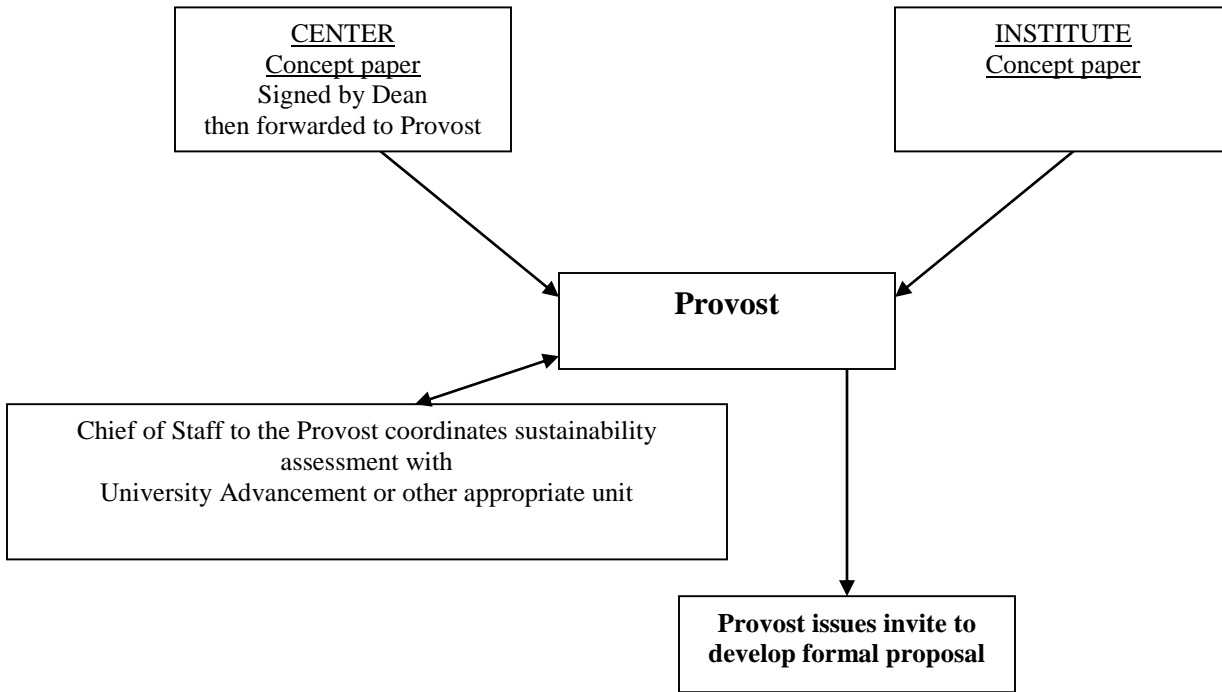
All current centers and institutes will be assessed for compliance with the new definitions for institutes and centers. Based upon the review current centers and institutes will either be approved, discontinued, or modified.

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

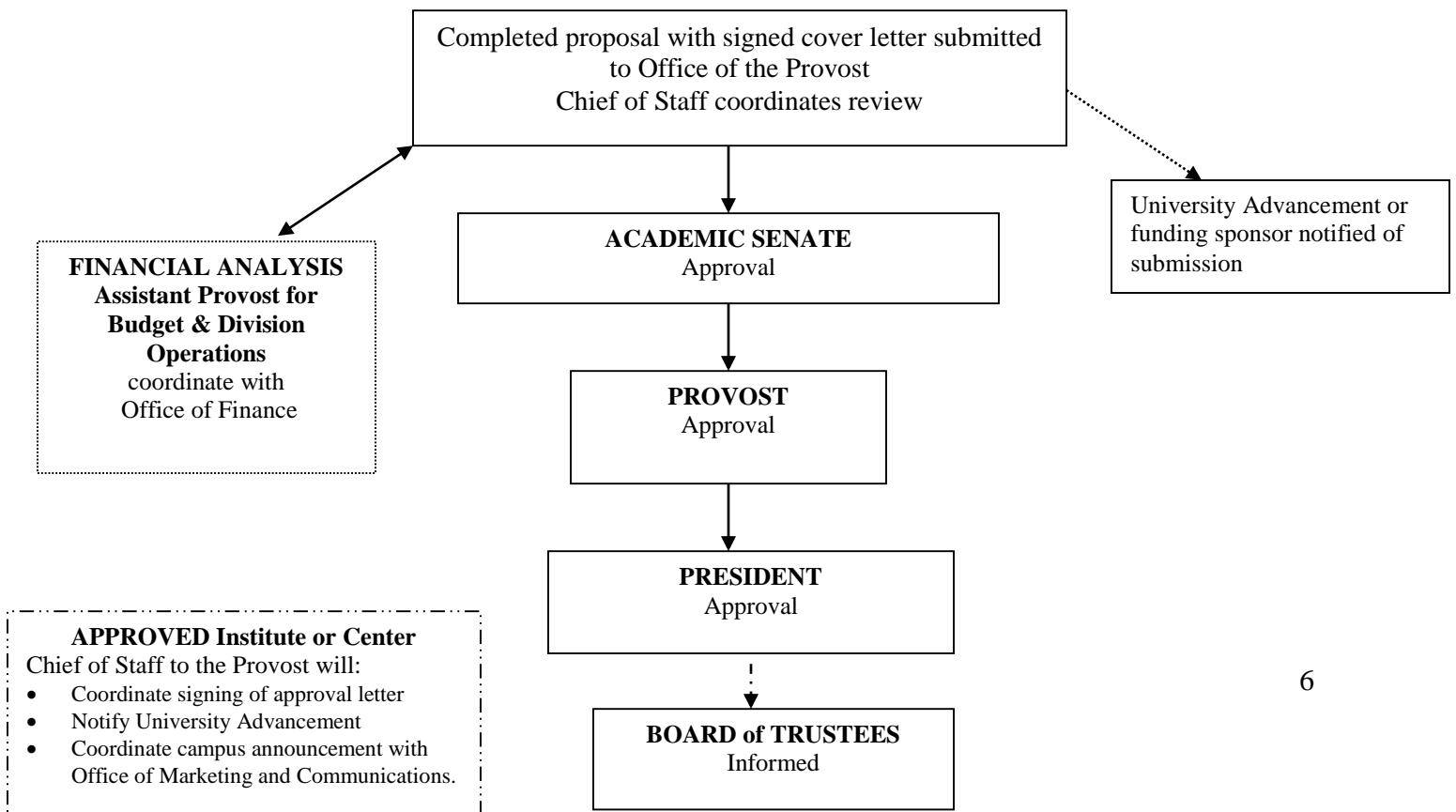
**Important: For each expense item provide detailed explanation with justification of the expense on attached separate page.**

## Flow Chart for Approval of Institute or Center

### PRE-PROPOSAL



### PROPOSAL



**Marquette University  
Office of the Provost**

**Cover letter for  
Proposed Institute or Center**

Institute/Center name: \_\_\_\_\_

Name of person submitting proposal: \_\_\_\_\_

Sponsoring college/school (s): \_\_\_\_\_

Sponsoring Department(s): \_\_\_\_\_

Concept approval date: \_\_\_\_\_

Dean signature: \_\_\_\_\_/date: \_\_\_\_\_

Remarks: \_\_\_\_\_

Advancement review: \_\_\_\_\_

Financial Analysis completed: \_\_\_\_\_

Academic Senate approved: \_\_\_\_\_

Provost approved: \_\_\_\_\_/date: \_\_\_\_\_

President approved: \_\_\_\_\_/date: \_\_\_\_\_

Board of Trustees informed: \_\_\_\_\_

University Advancement informed: \_\_\_\_\_

Office of Marketing and Communications informed: \_\_\_\_\_