

Policies and Procedures

SECTION: Academic Concerns	NO. 4.1.1.		
CHAPTER: General	ISSUED: 9/16/82	REV. A 5/18/94	REV. B
POLICY: Institutes Policy	PAGE 1 OF 6		

INTRODUCTION

Educational activities of universities are commonly carried out through departments. Circumstances may exist in which the departmental organizational structure is not the optimal mode of organizing university activity for the conduct of research, the provision of professional services, or the support of interdisciplinary teaching. When such research, service, or teaching activities acquire a scale and scope beyond that of existing academic units, the University may establish non-departmental organizational units. The term "institute" will be applied to such units. This document is University policy on such institutes.

INTENT OF THIS POLICY

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

DEFINITION

An institute is an academic unit that involves faculty members, other scholars and students in research, service or interdisciplinary instruction. The institute's activities may be supported by additional personnel. The institute will usually have interests and activities which cross departmental or school boundaries, but may be a unit within a department when it is of a size or scope that exceeds the requirements of a normal department.

AUTHORITY

Institutes shall be established by the President. Administration of institutes is delegated by the President to the appropriate Academic Vice President, and may be further delegated. No institute may be established until review as herein prescribed has been completed, nor may an institute be continued without periodic review. The Vice President concerned shall report to the President all major reorganizations affecting institutes.

ADMINISTRATION

The chief officer of an institute, the Director, is appointed by the appropriate Vice President. Rules governing the establishment, approval, funding, operation, and review of the institutes; appointment and review of directors; personnel matters; and all policies and procedures relating to institutes, shall be issued by the President after consultation as outlined in the Administrative Procedures section.

PURPOSE

Institutes 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

Policies and Procedures

SECTION: Academic Concerns	NO. 4.1.1.		
CHAPTER: General	ISSUED: 9/16/82	REV. A 5/18/94	REV. B
POLICY: Institutes Policy	PAGE 2 OF 6		

important fields. They must provide students with added research, clinical instruction, or other learning opportunities, facilities, and assistance. They should strengthen interdisciplinary programs of research, teaching, and service conducted by the faculty, explore opportunities lying outside traditional departments, or expand an operation beyond the scope or scale of existing departments.

SCOPE

An institute will usually be interdisciplinary in scope, involving the faculty and students of two or more departments. An institute may, however, be established if the scope and objectives of its research, service, or instruction exceed those of a normal, fully staffed and balanced department, or if special opportunities to create or strengthen collaborative activities exist. An institute is expected to provide opportunities for the participation of students in its activities.

FUNDING

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

APPOINTMENTS IN INSTITUTES

Participants in an institute may have their principle University appointment in the institute or in other academic units of the University. An institute may not, however, 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 effort devoted to the institute.

Other specific titles, annual review procedures, and promotion standards or institute personnel shall be designated and used uniformly in institutes throughout the University.

ADMINISTRATIVE PROCEDURES

DEFINITION AND PURPOSES

1. An institute is an academic unit of the University established to carry out the mission and goals of the University in accord with these policies. 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 on by departments, e.g., organize research conferences and meetings, advise on curricula, help professors provide guidance for students, and manage interdisciplinary instruction.
2. An institute shall be identified as an institute only when it has been approved as such by the President. It is important to distinguish between formally established institutes and research projects of a less formal character. In the solicitation of extramural funds for a research project that has not been proposed,

Policies and Procedures

SECTION: Academic Concerns	NO. 4.1.1.		
CHAPTER: General	ISSUED: 9/16/82	REV. A 5/18/94	REV. B
POLICY: Institutes Policy	PAGE 3 OF 6		

reviewed, and approved for institute status, care should be taken not to use terminology nor to make representations which suggest that the project is in fact a University-approved institute or is about to become one.

LINES OF RESPONSIBILITY

3. An institute shall be headed by a Director who is administratively responsible to the appropriate Academic Vice President or, by his delegation, to an academic officer such as a dean of a school or college. The extent to which the institute is interdisciplinary and has activities which cross school lines shall influence the delegation of reporting authority.

ADMINISTRATION, BUDGETARY SUPPORT, PERSONNEL

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

PROCEDURE TO ESTABLISH AN INSTITUTE

5. Certain procedures must be followed to establish a new institute. 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 may originate with any element of the University.

The proposal shall contain at least the following:

- a. A description of the purpose of the institute and the knowledge, service, and/or instruction that the institute may be expected to contribute;
- b. A description of the extent to which the proposed institute would duplicate the work of other institutes and departments of the University;
- c. A description of similar organizations at other universities;
- d. Names of faculty members who are interested in participating in the institute's activities;
- e. A statement about anticipated effects of the proposed institute on the teaching programs of the participating faculty members' departments;
- f. Projections of numbers of faculty members and students, research appointees, and other personnel;
- g. Budget estimates for the first year of operation and projections for following years;

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>
<i>POLICY:</i> Institutes Policy	<i>PAGE 4 OF 6</i>		

- h. Sources of funding, relationships between the members of the institute and the funding source, and any restrictions imposed by these sources;
 - i. A statement about immediate space needs and realistic projections of future space needs;
 - j. A statement of other needs such as capital equipment and library resources.
6. Such proposals shall be submitted through the appropriate dean or deans to the appropriate Academic Vice President, who will organize an ad hoc review of administrative aspects of the proposal. This review will include the comments and recommendations of the involved deans. At his discretion, the Vice President may find it effective to consult with other sectors within the institution. This review shall be assembled from these various sources by the Vice President and forwarded by him with his own recommendation to the President. The review shall pay particular attention to the following matters:
- a. That space and University resources sufficient to meet the projected needs of the institute can be reasonably expected to exist;
 - b. That the source and solicitation of funding has been considered within the context of the University's overall interests;
 - c. 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;
 - d. 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;
 - e. 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;
 - f. That all appointments are made in accord with established University procedures.

At this same time the Vice President shall also organize a review of the academic aspects of the proposal. For this purpose 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 to the Vice President paying particular attention to the following matters:

- a. That the proposed institute is an academically worthy one, consistent with the mission of the University, and expected to be in a potentially competitive position; and
- b. That the proposed institute conforms to the Purposes as outlined herein.

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>
<i>POLICY:</i> Institutes Policy	<i>PAGE 5 OF 6</i>		

It is also important that the larger University community be aware of the proposed creation of such new institutes. Therefore, at a timely point in the review of request for new institutes, the Vice President shall formally inform the following bodies that the creation of a new unit is under study:

- 1) The other Vice Presidents;
- 2) The Council of Deans;
- 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 recommendations of the Vice President to the President.

PROCEDURES FOR APPOINTING A DIRECTOR

7. The Director of an institute is appointed by the Vice President after consultation with the members or prospective members of the institute, 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 or deans.

PROCEDURE FOR REVIEW OF INSTITUTES

8. The Vice President shall conduct a review of each institute at intervals of five years or less. In conducting this review, the Vice President shall seek the advice of an ad hoc committee of persons familiar with the academic areas within which the institute works, and of the administrative officer to whom it reports.

A major basis for reviewing institutes shall be examination of documents routinely prepared by the institute 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. Normally, review of such documents shall precede other more demanding information-gathering activities, if the latter are, in the judgments of the reviewers, needed at all. The first review of an existing institute shall be sufficiently extensive so that the resulting review reports conform roughly to the requirements specified for pre-establishment review of a new institute. At the discretion of the reviewing committee, subsequent reviews may be less extensive. Each review shall make a recommendation about the institute's establishment or continuance; it may also suggest changes.

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

9. When a decision is made to discontinue an institute, sufficient time should be provided to insure an orderly termination or transfer of contractual obligations and other programs. Discontinuance of an institute 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 President to discontinue.

Policies and Procedures

SECTION: Academic Concerns	NO. 4.1.1.		
CHAPTER: General	ISSUED: 9/16/82	REV. A 5/18/94	REV. B
POLICY: Institutes Policy	PAGE 6 OF 6		

10. The effectiveness of each Director shall likewise be reviewed at intervals of five years or less, preferably at the time the institute is being reviewed, following the same procedure as for the institute review. If the institute is to be continued, the decision whether to continue the appointment of the Director is made by the Vice President.

REPORTS

11. Annually, each institute shall submit a report to the officer to whom it is responsible, with copies for the Vice President. This report shall include:
- a. Information deemed relevant to the evaluation of an institute's effectiveness, including research, service and/or teaching accomplishments and projection of plans;
 - b. Number of faculty members engaged in the institute's program or its supervision;
 - c. Numbers and FTE's of professional, technical, administrative, and clerical personnel employed;
 - d. List of publications by the institute's staff;
 - e. Sources and amounts (on an annual basis) of support funds;
 - f. Expenditures;
 - g. Description and amount of space currently occupied;
 - h. Numbers of students at all levels involved in the institute's work, and descriptions of their participation.