

**THE TEXAS A&M UNIVERSITY SYSTEM  
HEALTH SCIENCE CENTER INTERNAL POLICY**

---

---

**11.02.99.Z1.01 Creation and Review of Research Centers and Institutes**

*Approved December 6, 2006*

---

---

**Supplements System Policy 11.02**

**1. OVERVIEW**

Creation of research centers and institutes benefits faculty members of its various components by facilitating interaction with colleagues of similar and/or complementary interest and areas of research expertise. Educational benefits may also be derived through outreach efforts, specialized study opportunities for graduate students, and continuing education programs for health care practitioners.

This internal policy applies only to research centers and institutes within the Texas A&M Health Science Center (HSC); it does not apply to clinical treatment centers, service centers, and administrative centers (e.g., counseling centers, computing centers, learning resource centers, etc.).

**2. CHARACTERISTICS OF RESEARCH CENTERS AND INSTITUTES**

- 2.1 Research centers and institutes in the Health Science Center are administratively distinct units whose primary focus is on collaborative, interdisciplinary research and advanced graduate training in the biomedical and public health sciences.
- 2.2 Research centers and institutes are developed and established to facilitate and support collaborative, interdisciplinary research and training programs on significant problem areas that may cross-cut multiple traditional departments and schools as well as affiliated agencies, clinical facilities, and other institutions.
- 2.3 Centers and institutes are multidisciplinary and may bring together faculty and students from a number of departments, schools and colleges, and agencies from throughout the Health Science Center as well as from other institutions of higher education, hospitals and clinics, government agencies, and private industry. Research centers and institutes tend to be characterized by collaborative development and utilization of shared research facilities and resources.
- 2.4 Typically, research centers are smaller, interdisciplinary units whose emphasis is on interdisciplinary research activities that are broader than can be supported in an individual department. Research institutes tend to be larger integrative units whose emphasis is on research activities that cross-cut multiple schools, colleges, or other centers and institutes.

- 2.5 A center or institute might receive some minor administrative fiscal support, and possibly some initial start-up funding, but is expected to be primarily if not exclusively supported by external funds.

### **3. ADMINISTRATION OF RESEARCH CENTERS AND INSTITUTES**

- 3.1 Research centers and institutes typically are housed administratively within a school or college and report to the dean or their designee (e.g., Associate Dean for Research). Research centers may also be housed administratively within larger institutes and report to the director.
- 3.2 Research centers and institutes with substantial academic breadth and scope of activities that span multiple components may report administratively to the Vice President for Research and Graduate Studies. For research centers and institutes that report to the Vice President, the appropriate deans/directors or designees will be consulted as appropriate regarding faculty activities and resources.
- 3.3 The administrative reporting lines for each center and institute will be determined at the time it is established, and will be reconsidered on a regular basis as part of the regular periodic review process (see section 7).

### **4. APPOINTMENT OF FACULTY AND STAFF IN RESEARCH CENTERS AND INSTITUTES**

- 4.1 Unless specifically authorized to do so by the President of the Health Science Center and the Board of Regents, centers and institutes may not provide primary academic appointments for faculty.
- 4.2 Promotion and tenure for faculty members who are also members of a center or institute are typically the primary responsibility of the academic departments. The director of the center or institute should be consulted in all relevant areas of performance review as appropriate given the level of involvement of the faculty member in the center or institute.
- 4.3 Centers and institutes may make primary appointments of research scientists and of other staff according to standard procedures for administrative units throughout the Health Science Center.

### **5. PROPOSALS FOR DEVELOPMENT OF A NEW CENTER OR INSTITUTE**

Creation of a new research center and institute within the Health Science Center involves a three-part process including: (1) development of a proposal for internal review and approval by the appropriate components and by the Health Science Center executive offices; (2) submission approval of a “concept paper” for review and approval by the Board of Regents; and (3) submission approval of a full proposal for review and approval by the Board of Regents.

- 5.1 Internal proposal for a center or institute. The internal proposal should be no longer than 20 pages in length and should contain the following information:
- 5.1.1 Proposed name of the center or institute
  - 5.1.2 Responsible administrative unit
  - 5.1.3 Collaborating units: i.e., Health Science Center departments and components, TAMUS components, and other institutions
  - 5.1.4 List of proposed faculty. An NIH-style biosketch (4-page) should be included for each participating member in an appendix.
  - 5.1.5 Mission, goals, and objectives of the center or institute, including a time line for achieving goals and objectives.
  - 5.1.6 Rationale. Specifically address the issue of why a new center or institute is necessary as opposed to encompassing the proposed activities within an existing departmental or component structure.
  - 5.1.7 Potential activities
  - 5.1.8 Resource requirements. Space and research facilities that will be used and supported by the center or institute.
  - 5.1.9 Governance and advisory structure
    - 5.1.9.1 Internal governance structure (e.g., director, executive committee, internal advisory committee), including an organizational chart indicating the lines of authority within and across participating administrative units and institutions.
    - 5.1.9.2 Advisory board(s), including procedures regarding selection of members, roles, term, oversight, and governance.
  - 5.1.10 Financial plan, including current and projected future sources of support and sustainability.
  - 5.1.11 Plan for periodic review.

## **6. REVIEW PROCESS FOR CREATION OF A NEW CENTER OR INSTITUTE**

- 6.1 Review and approval by the Health Science Center
- 6.1.1 Each proposal for the creation of a new center or institute must be reviewed and approved initially by the proposed participating departments, component(s), and other administrative unit(s) as well as institutions outside the Health Science Center.
  - 6.1.2 Following initial approval, the proposal will be submitted to the Vice President for Research and Graduate Studies with a cover memorandum from the proposed center director. The Vice President for Research and Graduate Studies will forward to the Research Advisory Council for further

review and comment, and may seek additional recommendations from experts.

- 6.1.3 The proposal and recommendations from the Vice President for Research and Graduate Studies will then be forwarded to the Health Science Center Executive Committee, which will make a final recommendation regarding approval to the President of the Health Science Center.

## 6.2 Review and approval by the Texas A&M University System

- 6.2.1 If approved by the Health Science Center, the initiator(s) of the proposal for a center or institute will prepare a “concept paper” of no more than three-pages in length that meets the requirements of the Board of Regents (see System Policy 11.02).
- 6.2.2 The concept paper will be submitted by the President of the Health Science Center to the Vice Chancellor for Academic and Student Affairs.
- 6.2.3 If the Board of Regents provides preliminary approval for creation of the center or institute, the President will submit a full proposal and completed Board Agenda Item with an executive summary attached to the Vice Chancellor for Academic and Student Affairs, for presentation for final approval of the center or institute to the Board of Regents.

## 7. REVIEW OF APPROVED CENTERS AND INSTITUTES

- 7.1 Centers and institutes are reviewed on a regular basis, similar to all other academic units, in order to assess their mission and to determine whether or not they continue to meet their stated goals and objectives.

### 7.2 Annual review

- 7.2.1 The director of each research center and institute must submit an annual report addressing all the relevant criteria, including a review of the finances and business plan, through the head of its administrative unit (i.e., dean/director or designee) to the Vice President for Research and Graduate Studies.
- 7.2.2 The Vice President for Research and Graduate Studies will review the annual report and forward it with recommendations to the Health Science Center President.

### 7.3 Periodic review

- 7.3.1 Periodic reviews should be undertaken at least every five years to make recommendations concerning the continuation/discontinuation of the center or institute. These reviews will be organized by the Vice President for Research and Graduate Studies with input from the participating dean(s)/director(s) and the director of the center or institute.

- 7.3.2 Periodic reviews must include a review committee comprised at least in part of external experts. Included in the charge to the review committee will be a request for assessment of the following areas:
  - 7.3.2.1 Significance of the mission, goals, and objectives of the center or institute and how it fits into the mission of the Health Science Center.
  - 7.3.2.2 Effectiveness of the center or institute in meeting these goals and objectives.
  - 7.3.2.3 Appropriateness of the administrative structure, including the director, and the reporting line(s).
  - 7.3.2.4 Financial status
  - 7.3.2.5 Strategic plan, including financial projections
  - 7.3.2.6 Recommendation on continuation/discontinuation of the center or institute.
- 7.4 Outcomes of the review process
  - 7.4.1 Recommendations based on the annual reviews and periodic reviews will be presented by the Vice President for Research and Graduate Studies to the President of the Health Science Center for further evaluation and action.
  - 7.4.2 Any major changes in function, focus, and funding sources for centers and institutes shall receive prior approval from the President and Chancellor and subsequent approval by the Board of Regents.

## **OFFICE OF RESPONSIBILITY**

### **Vice President for Research and Graduate Studies**