

University of Pennsylvania School of Medicine  
Policy & Procedure Manual

## ***Establishment, Administration and Review of Centers and Institutes***

### ADMINISTRATION

Policy Number: ADM-CI-001

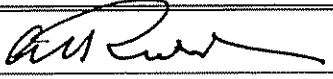
Date Approved: 10/14/2005

## **I. PURPOSE**

To establish guidelines for the organizational structure, administration, management, and review of Centers and Institutes in the School of Medicine.

## **II. CENTER AND INSTITUTE CLASSIFICATIONS**

- Type-1 Centers support the focused mission of a relatively select group of faculty who are based largely, but not necessarily exclusively, within a single department. Alternatively, a Type 1 center may support a research program that is centered within a Type 2 or Type 3 Center and is available to the members of that Center. Accordingly, a Type-1 Center reports to a Department Chair or Type-2 or Type-3 Center/Institute Director, and its space and budget are administered through that entity. Type-1 Centers may incorporate one or more extramural “center” grants (e.g. NIH P30, P50, P60, etc.), or conduct distinct “center” defined clinical activities.
- Type-2 Centers/Institutes are inter-departmental by design and purpose. A Type-2 Center/Institute supports faculty who are based primarily, but not necessarily exclusively within a single school. A Type-2 Center/Institute reports to the Dean, manages its own budget and may be assigned space. Type-2 Center members require an appointment in an academic department, which is primarily responsible for promotion and tenure.
- Type-3 Centers/Institutes are inter-school by design and purpose. A Type-3 Center/Institute is created under the authority of the Provost, but can report to the Provost or one or more Deans depending on the research focus. A Type-3 Center/Institute manages its own budget and may be assigned space. Type-3 Center/Institute members require an appointment in an academic Department, which is primarily responsible for promotion and tenure.

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The classifications described above, and use of the terms “Center” and “Institute”, pertain to formally approved, Type 1, -2 or -3 school-based entities. This use does not preclude or in any way prohibit the separate use of these terms in the context of either University or Health System clinical practice roles/lines or extramurally funded research projects or grants.


### III. POLICY

Centers and Institutes are designed to promote targeted, inter-disciplinary science and education spanning basic, translational, and clinical research. By definition, Centers and Institutes provide value to the faculty and institution beyond existing departmental structures and support.

#### *Center/Institute Criteria:*

The following criteria define expectations and performance for the formation of new, and the review of existing Type-2 and -3 Centers/Institutes.

- *Fosters Multi-Disciplinary Research:* Successfully promotes cross-departmental and school research, serving as the focus for significant multi-investigator awards, and for bridging basic and clinical sciences;
- *Promotes Research Excellence and the Development of Strategic Initiatives:* Promotes research excellence and targeted strategic research initiatives, inclusive of proactively pursuing extramural funding;
- *Supports Multi-Disciplinary Membership:* Attracts, maintains, and nurtures a diverse and committed faculty membership drawn from throughout the School and/or University community;
- *Enhances Faculty Recruitment and Retention:* Provides programmatic leadership and resources that augment faculty recruitment and that enhance the retention of outstanding faculty;
- *Fosters Faculty Development and Mentoring:* Brings value to the faculty beyond that provided by a department or other administrative entity. Provides a framework for mentoring junior faculty and faculty development activities within a discipline;
- *Provides Distinctive Educational Opportunities and Programs:* Provides unique educational opportunities for faculty and trainees within a discipline;
- *Develops and Maintains Core Facilities:* Develops and maintains core facilities or services that promote basic, translational and clinical research in support of the center’s members and research program (these core facilities are not available to the School faculty at large and thus are not subject to the oversight of the School of Medicine Research Core Facility Committee);
- *Effectively Administers Grants and Space:* Provides value-add service functions for the School and departments.

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## IV. PROCEDURES

### Governance, Management, and Resource Allocation

#### A. Reporting Structure

Type-1 Centers report to a Department Chair or a Type-2 or Type-3 Center/Institute Director, and space and budget are administered through that entity.

Type-2 and Type-3 Center and Institute Directors report to the Dean and/or Provost since these entities require direct access to resources as well as advice on strategic priorities that only the Dean/Provost can provide.

#### B. Center/Institute Director Leadership and Management

##### *Interaction among Centers/Institutes*

Interaction among Centers/Institutes, on subjects such as recruitment, translational medicine, NIH initiatives, cross-institutional programs, and core facility development, should be discussed on a regular basis under the leadership of the Center/Institute Directors. (The *Council of Centers and Institutes* serves as a forum for these communications).

##### *Resource Allocation*

The *Research Coordinating Council* advises the Dean, inclusive of ongoing assessment and recommending resource allocations to Centers/Institutes in the context of the Penn Medicine Strategic Plan.

##### *Core Facilities*

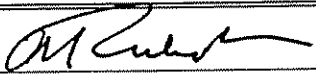
The School of Medicine *Research Core Facility Committee* includes representatives from all Centers, Institutes and Departments that contribute resources to School cores. The Committee is responsible for ensuring service coordination and recommending the allocation of School resources to the Dean and Vice Dean for Research and Research Training.

##### *Space and Grants Management*

The administration of Center/Institute grants and space is assigned to the entity that provides the most effective support for the faculty and program research activity. The School of Medicine will ensure that administrative accounting of research productivity and space utilization supports this goal. When feasible, Type-2 and Type-3 Centers/Institutes will be assigned dedicated space.

##### *Center/Institute Membership:*

Clearly defined membership criteria including different levels of membership that are matched to service expectations can foster both Center/Institute identity, and a linked sense of faculty

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cohesion and dedication to Center/Institution activities and programs. Center/Institute membership rosters are to be updated during the annual review process described in Section IV.C.

**C. Formation, Review and Dissolution of Centers/Institutes**

***Formation of New Centers or Institutes:***

Type-1 Centers arise and are reviewed within departments. To ensure integration it is recommended that the Department Chair meet with the *Research Coordinating Council* to discuss the intended goals and structure of the Center. The Chair then submits a letter of notification to the Dean, which the Dean will present to the Standing Committee of Department Chairs and Directors of Centers and Institutes.

Proposals for creation of new Type-2 or -3 Centers/Institutes are directed to the Dean who seeks advice from the *Research Coordinating Council (RCC)* through the Office of the Vice Dean for Research and Research Training. The purpose of the RCC's review is to determine whether the proposal meets the strategic needs of the School and is fully integrated with existing Departments, Centers and Institutes. Based on that advice, the Dean decides whether or not to endorse the creation of the Center/Institute and, if so, submits the final proposal to the Standing Committee of Department Chairs and Directors of Centers and Institutes for approval.

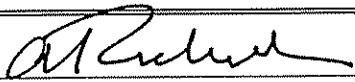
***Center/Institute Review:***

Type-1 Centers are to be evaluated annually within the home department, using a process determined by the Chair, and these findings incorporated into the departmental resource document prepared for the departmental six-year review.

Type-2 and -3 Centers/Institutes are evaluated on an annual basis using a reporting format designed by the School of Medicine for that purpose. The annual reports are reviewed in conjunction with the School's annual budget process. More comprehensive programmatic reviews are conducted through the periodic review process which takes place every six years or at the Dean's discretion. Both annual reports and periodic reviews will evaluate the Center/Institute using the criteria defined above in Section III, Policy.

***Center/Institute Dissolution:***

The consideration of thematic reorganization or dissolution of Type-2 and -3 Centers/Institutes should emerge during the periodic review process. In an instance where the review of the annual report indicates the need for consideration of a substantial change to Center/Institute administrative structure or mission, the Dean will appoint a committee to conduct a more in-depth review of the Center/Institute in a fashion analogous to that conducted during the periodic review.

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## V. WHO SHOULD KNOW THIS POLICY?

- Department Chairs and Directors of Centers and Institutes
- Department, Center and Institute Business Administrators
- School of Medicine Faculty
- Dean's Staff

## VI. CONTACTS

### Dean, School of Medicine

Phone: 215.898.6796

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### Vice Dean for Research and Research Training, School of Medicine

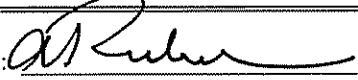
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