

**UNIVERSITY OF HOUSTON SYSTEM
ADMINISTRATIVE MEMORANDUM**

SECTION: Academic Affairs

NUMBER: 06.A.07

AREA: General

SUBJECT: Procedures for the Operation of Centers and Institutes

1. PURPOSE

Academic and research centers and institutes exist to enhance the scholarly activities of the University of Houston System. This document sets forth procedures for the operation of centers and institutes to ensure proper oversight by the component universities, System Administration, and Board of Regents.

2. POLICY

- 2.1. A center or institute is an organization that engages in scholarly activities (e.g., education, intellectual advancement, and/or research). The activities of a center or institute may be focused primarily on academics or research.
- 2.2. A center or institute may be identified primarily with one discipline, may be multidisciplinary, may support activities in a wide variety of areas, and may involve more than one component university or institution.
- 2.3. A center or institute may be supported by appropriated funds or depend entirely on sponsorship by outside agencies and foundations.
- 2.4. A center or institute may be identified as a college-level, a department-level, or a university-level center or institute. Specific procedures and requirements for centers and institutes are established by each of the component universities.
- 2.5. Approval of a center or institute is delegated by the Chancellor to the President of the component university. The agreement between a center or institute and the President (or his/her designee) must be in writing and must provide that the President (or his/her designee) approves of the creation, existence and purposes of the center or institute. It must include at least the following:
 - a. That the center or institute may not carry on activities that do not, in their entirety, support the mission of the component university.
 - b. That the center or institute may not duplicate the activities of any department, program, center, institute, or related unit of a component university.

- c. That the center or institute is subject to all policies and procedures of the Board and the System Administration, and must submit to reporting and auditing requirements as established by the System Administration.

3. PROCEDURES

- 3.1. Each component university is responsible for maintaining a complete list of approved academic and research centers and institutes and for ensuring that policies are in place regarding their establishment, operation, and termination that will guarantee appropriate fiscal controls, as well as oversight of the scholarly activities of the center or institute.
- 3.2. Such policies should ensure that the operations conform to state statutes and regulations, Board policies, system administrative memoranda, and other institutional policies. These policies should include but not be limited to the following matters:
 - a. Establishment of the center or institute;
 - b. Administrative organization of the center or institute;
 - c. Reporting relationships of the center or institute;
 - d. Membership and governance;
 - e. Financial operations and business practices of the center or institute;
 - f. Annual reports on fiscal year activities are due on January 15 of each year;
 - g. A cumulative report on the effectiveness of the center or institute in fulfilling its mission will be submitted every fifth year;
 - h. Sunset review of the center or institute; and
 - i. Termination of the center or institute.

4. REVIEW AND RESPONSIBILITIES

Responsible Party: Senior Vice Chancellor for Academic Affairs and Provost
Vice Chancellor for Research and Technology Transfer

Review: Every five years on or before September 1

5. APPROVAL

Approved: Paula M. Short
Senior Vice Chancellor for Academic Affairs and Provost

Renu Khator
Chancellor

Date: June 12, 2017

REVISION LOG

Revision Number	Approval Date	Description of Changes
1	11/12/1993	Initial version (Original SAM document title: Procedures for the Operation of Centers and Institutes)
2	09/17/2004	Applied revised SAM template. Change of SAM document title to Procedures for the Operation of Institutes and Centers. Minor housekeeping redlines applied; review date changed from odd numbered years to every three years on or before December 31 st
3	06/15/2012	Applied revised SAM template and added new Revision Log. Removed Section 6, Indexing terms. Added VC for Research and Technology Transfer as responsible party
4	06/12/2017	Changed title to “Centers and Institutes.” Added information to Section 2.1 on scholarly activities, and centers/institutes may be primarily focused on academic or research. Added Section 2.4 on identification of centers and institutes. Added Section 2.5.b for rule on non-duplication of activities for centers and institutes. Added Section 3.2, with five additional policy topics for centers and institutes. Changed review period from every three years on or before December 31 st to every five years on or before September 1 st