Description and Approvals Process for Centers and Institutes

3.5.14 / 4.4.17 / 8.17.17 / 3.9.18 / 4.10.18 / 5.17.18/ 5.18.20

Purpose

This document is intended to supplement guidance issued by the Office of the Secretary/counsel's office on January 17, 2014 [attached] related to centers and institutes. It provides some working definitions of various entities within Weill Cornell Medicine to aid in the creation and naming of new entities, and outlines their appropriate approval process and corresponding benefits. The goal is to arrive at a distinct set of characteristics for each entity type to create consistency across the institution.

This document only applies to academic /scientific/clinical Centers and Institutes at this time. Administrative entities, such as "HR Onboarding Center" or an "ITS Service Center," are not the subject of this document, and are determined by the Executive Vice Provost.

General Characteristics: Center vs. Institute

- All Centers/Institutes require a formal charter describing the purpose, scope, membership, affiliations, major roles/titles, organizational relationships, administrative oversight, funds flow, branded names, and approved abbreviations.

- Centers/Institutes (which all should have "Directors" as their leaders) come in a wide variety of forms, with varying characteristics and levels of scope. Examples include:

    - Multiple locations: Center for Reproductive Medicine
    - Single location: Comprehensive Weight Control Center
    - Sub-sets of other entities: Headache Center (within Dept. of Neurology)
    - Multi-departmental: Meyer Cancer Center
    - Multi-institutional: Tri-Institutional Therapeutics Discovery Institute

- Centers and Institutes do not grant faculty appointments, separate from the faculty appointments granted by departments.

- If approved by the Dean, some centers/institutes (for example, Institute for Computational Biomedicine) may be allowed to create non-faculty academic appointments (e.g. fellow, postdoc, research associate, etc.) These appointments can only be jointly given with an academic Department and cannot be tenure-eligible.

- Academic Centers are typically broader in scope than Institutes or Clinical Centers. Some centers involve multiple departments and include faculty membership from multiple departments (for example, Meyer Cancer Center).

- Academic Centers usually span from translational research to patient care (bridges bench to clinical); Institutes are mostly research-focused

- Institutes are typically narrower in thematic/disease focus; faculty membership is primarily from one department. They can organizationally fall under a Department or Division.

- Clinical Centers are usually dedicated to the care of a particular disease area though some clinical research is often included. They are often analogous to a practice or practice location, though some have multiple locations. Faculty membership is primarily from one or two related departments. They can organizationally fall under a Department or Division. Examples include the Breast Center, Center for the Performing Artist, Center for Male Reproductive Medicine, Center for Sleep Medicine.

Required Approvals

- All Centers/Institutes must be approved by the Dean.

- If the proposed entity falls within, or most of the faculty come from, a single Department, the Department Chair must approve prior to Dean's approval.

- Establishment of new Centers/Institutes may require Board of Overseer (as well as CU Trustee) approval if they meet certain criteria regarding budget, functions, donor naming, and degree of autonomy. The Office of the Secretary – in consultation/collaboration with External Affairs, as needed – will determine whether and when approval of Board(s) is necessary.

- There also are Centers/Institutes established with NYP. These similarly require Chair and Dean approvals. Proposals for these entities must be brought to the Chair and Dean before any business and staffing planning begins.

- Approved Centers and Institutes must be represented by a distinct organizational unit within the institution's enterprise resource planning system (Weill Business Gateway/SAP), unless they are merely physical facilities/locations.

- All future requests to use the designation "Center" or "Institute" in marketing, communications, or systems of record must provide documentation that the Dean has approved the use of such designation.

Approval Process:

- A submission tool for approval can be found on the Budget & Financial Planning website: http://intranet.med.cornell.edu/budget/policies_and_practices/centers_institutes/

- All requests for Center or Institute designation require completion of the application form, plus supporting documentation (charter, etc.)

- The Director, Business Planning and Strategy, will initially review the request package to verify that all needed information has been submitted.

- Once the package is complete, it will be reviewed by a committee consisting of the:

  o Vice Provost for External Affairs
  o Sr. Associate Dean for Research
  o Sr. Associate Dean for Clinical Affairs
  o Managing Director, Budget & Financial Strategies

- The review committee will make a recommendation to the Dean as to the appropriateness of the Center or Institute designation.

- The committee will then notify the requester as to the Dean's decision.

Benefits

WCM entities that meet the above definitions of Centers/Institutes are eligible for appropriate:

- <u>Branding</u>, using Weill Cornell Medicine logo lock-ups – in collaboration and compliance with the Office of External Affairs marketing staff

- <u>Website or webpage</u> – in compliance and collaboration with ITS and External Affairs (marketing), and overseen by the Web Governance Committee

- <u>Physical signage</u>/wayfinding at relevant locations – in compliance with Capital Planning, External Affairs (marketing), and (if applicable) External Affairs Donor Recognition staff.

- <u>Faculty appointments </u>with approval of the Board of Overseers

- <u>Donor naming</u> – working in concert with the Office of External Affairs

Donor Naming

- Any Center/Institute naming in honor of a donor/gift should be approved by the Vice Provost for External Affairs, working in consultation with the Dean and senior leadership, prior to discussion with prospective donors.

- Fundraising staff in the Office of External Affairs are responsible for assessing the scope of the proposed Center/Institute and assigning/approving the appropriate "naming gift" dollar requirement. Donor naming requirements for Centers/Institutes will vary widely and take into account a variety of factors – including function, scope, complexity, etc. It is expected that no Center/Institute will be named for less than $5 million.

- Any permanent donor naming will require, with the agreement of the Dean, a portion of the gift to be <u>endowment</u>, in order to sustain the Center or Institute in perpetuity.

- Centers/Institutes named for donors will require corresponding "re-branding" including stationery, signage, websites, etc. Costs for this should be covered by the Center/Institute.

Centers Created through Grants

Centers can also be created at Weill Cornell Medicine through an award or grant – typically for a set period coinciding with the duration of the award. For example, WCM may be designated a "Tourette Association Center for Excellence" by the Tourette Association of America, or a "Physicians Foundation Center for the Study of Physician Practice and Leadership" by the Physicians Foundation. In such situations, the agreement to name, and the term associated with the naming, should be reviewed through the process described above.

Solely Physical Sites

Some entities do not possess the characteristics described above, but call themselves "centers." These entities are stand-alone buildings, physical sites, or core facilities, and are organizational structures within which specific activities occur.

While these sites are not the intended focus of the guidance and definitions described above, the same approval steps are required.

Examples listed in the chart below are only for the purposes of differentiation of these "physical centers" from the Centers/Institutes which are the primary focus of this document.

Center vs. Institute Comparison

	Academic CENTER	INSTITUTE	Clinical CENTER	PHYSICAL SITE ONLY*
Scope	Broader in scope; crosses multiple departments and includes faculty membership from many departments; is an independent unit	Narrower in thematic or disease focus; faculty membership primarily from one department; can organizationally fall under a Department or Division	Focus is on the care of a specific disease or disease area. Research, if present, is clinical. Faculty membership primarily from one or two departments; can organizationally fall under a Department or Division	Building, physical site, or core facility only
Focus	Typically involves translational research to patient care (bridges bench to clinical)	Typically research-focused only	Typically clinically-focused only	Can be for research, patient care, or education
Faculty appointments	With Board of Overseers approval	With Board of Overseers approval	Does not grant faculty appointments	Does not grant faculty appointments
Donors	Eligible for naming by donors	Eligible for naming by donors	Eligible for naming by donors	Eligible for naming by donors
Site	Often multiple locations within WCM or NYP real estate	Typically one primary location; usually within WCM space	Typically one primary location; usually within WCM or NYP space; may have multiple practice sites	Single physical location
Board approval required	Yes	Yes	Yes	Only for construction approval, or if donor naming is more than $1 million
Branding	Weill Cornell Medicine logo lock-up; often co-branded with NYP	Weill Cornell Medicine logo lock-up; usually not co-branded with NYP	Weill Cornell Medicine logo lock-up; often co-branded with NYP	Does not require logo lock-up
Examples *[some names abbreviated here for the purposes of brevity]* →	• Meyer Cancer Center • Clinical and Translational Science Center • Center for Global Health • Center for Healthcare Informatics and Policy • Perelman-Cohen Center for Reproductive Medicine	• Alwaleed Institute for Computational Biomedicine • Ansary Stem Cell Institute • Appel Institute for Alzheimer's Disease Research • Cardiovascular Research Institute • Drukier Institute for Children's Health • Englander Institute for Precision Medicine • Jill Roberts IBD Institute • Sackler Institute for Devel Psychobiology • Inst for History of Psych • Parkinson's Disease/Mov Disorders Inst. • Center for Research on End-of-Life * • Center for Vascular Biology*	• Sean Parker Institute for the Voice + • Center for the Performing Artist • Center for Sleep Medicine • Center for Spine Care • Breast Center • Allergy Center • Arnold Center for Radiation Oncology • Center for Lymphoma • Center for Myeloma	• Cofrin Center for Biomedical Information • Citigroup Biomedical Imaging Center • Weill Education Center • Feil Student Center • Belfer Gene Therapy Core Facility • Margaret and Ian Smith Clinical Skills Center • Lasdon Biomedical Research Center • Myra Mahon Patient Resource Center

+ Some entities will fall into the "Centers" category by name, but actually have the characteristics of "Institutes" by mission and function (and vice versa). These entities will retain their current nomenclature, with the understanding that they are categorized elsewhere based on their inherent characteristics.

*Some "Centers" are merely physical locations or buildings.

MEMORANDUM

Date: January 17, 2014

To: Laurie Glimcher, Stephen Cohen, Daniel Knowles, Gary Koretzky, Larry Schafer, Michael Stewart

From: James Kahn, Jeanie Faulkner

RE: Updated Guidance on Establishing Centers and Institutes

The Office of the Secretary recently received supplemental guidance from the University Trustee Office regarding approval pathways for Centers and Institutes. The major change for Weill Cornell is that Centers and Institutes will follow the same approval pathways. Nomenclature such as "center," "institute," "program," "laboratory," etc., will not have bearing on the process.

The University considers a range of factors to determine levels of approval for such new entities. Adapting these to Weill Cornell, the factors to be considered in determining the need for Overseer approval are:

1. The new entity will create an ongoing relationship with another entity (e.g. educational institution, hospital or external agency) other than solely for funding. Affiliation agreements with hospitals specifically require Overseer approval under the *Governance Resolution*.

2. The new entity will be named in honor of a donor or others.

3. The new entity will have an annual budget over $1 million (based on the current transaction authority for WCMC).

4. The new entity functions across more than one college.

5. The new entity will serve as a separate academic unit or is created in connection with a new degree-granting academic program.

Additional approval by the Trustees will be required for items 4 and 5 and for any entity whose annual budget exceeds $5 million (based on the current transaction authority for WCMC).

In conjunction with implementing these guidelines, we recommend formalizing the internal review process. At minimum, we recommend approval by the Provost/Dean, or designee, for all new centers, institutes, programs, laboratories or other new entities. To coordinate review by all relevant parties, we recommend that any proposed new entity be included on the monthly Strategy Committee agendas.

Communicating the new procedures might effectively be achieved with a brief announcement at an EFC meeting, coordinated with an email notice to EFC members and administrative staff.