

Principles and Guidelines for HMS Initiatives, Programs, Centers, and Institutes (IPCI).

Introduction: HMS has a strong interest in promoting new and established Initiatives, Programs, Centers and Institutes (hereafter referred to as Centers) in order to foster a culture of collaboration and innovation that is essential to its mission. HMS is also committed to supporting select, exploratory initiatives which have the potential to develop into larger entities over time.

Definition: Centers are organizational structures created to facilitate interdisciplinary, interdepartmental, and inter-institutional collaboration for the purposes of research and education. The various designations correspond to academic scope and funding level.*

Purpose of these guidelines: To provide HMS faculty with transparent and supportable guidelines for the organization and governance of research and education involving interdisciplinary, interdepartmental, and interinstitutional work.

Relationship to HMS: These guidelines apply to all efforts for which HMS is asked to incorporate its name within the name of a Center e.g., HMS Center for XXX (quad), HMS-MGH Center for XXX (affiliates), HMS-HBS Initiative for XXX (Harvard schools).** These guidelines also apply to new, philanthropically funded Centers that seek to be created within, or in association with, Harvard Medical School.

Hierarchy: Centers are designed to facilitate interdisciplinary, interdepartmental, and interinstitutional work by creating a trans-unit entity intended to lower barriers and/or catalyze nascent efforts. Ideally, Centers should affiliate with a Department as a “home base” to provide required additional support. For all Centers, opportunities will exist for adjustment, including redesignation as a larger entity, or, conversely, as a smaller entity, as the result of periodic review against standards defined by these guidelines.

Initiation and Review: For any proposed entity to be newly designated as a Center or for any Center undergoing re-review, a complete application that shall include academic, strategic, business, and fund-raising plans for the expected period of operation must be submitted to the Dean’s Office for Clinical and Academic Affairs. After an initial review by the Dean’s Office for Clinical and Academic Affairs, the application will be considered for recommendation by the Committee on Oversight of HMS Initiatives, Programs, Centers, and Institutes. Approval for recommendation will be followed by submittal to the Dean of the Faculty of Medicine for final action. Ultimately, the decision to launch and/or sunset any program rests with the Dean of the Faculty of Medicine or his/her designee.

Governance/Leadership: Each Center initiated under these guidelines shall be led by one or two Directors who are ordinarily senior HMS faculty members. When two such faculty are involved, they are expected to be in different disciplines, departments, or institutions. These Directors will be appointed by the Dean for 3-year renewable terms. (Note: All administrative appointees serve at the pleasure of the Dean.) These Directors shall, upon their designation by

the Dean, recommend an Executive Committee (EC) that will consist of no fewer than three additional members of the represented disciplines, departments, or institutions. (The majority of the EC should be faculty members.) Together, the Director(s) and the EC will govern the unit and be responsible for the proper conduct of the designated work.

Communications: Shared learning among the members of the Centers will be encouraged and facilitated by establishment of a single HMS-sponsored website and other interaction facilitated by the Dean's Office Representatives. These activities will contribute to the Centers' shared purposes of collaboration and interdisciplinary interaction.

Finance/Administration: Financial independence is a general expectation for all Centers, with the full costs of the unit supported by external sources of funding. In some cases, a unit may also be asked to contribute to support for the role of HMS in managing, promoting, and overseeing the unit. Financial independence will necessarily require that the unit secure adequate funding to cover all obligations for the relevant budget period, inclusive of funds "in hand" and/or executed pledge or grant agreements. Importantly, consistent recovery of infrastructure and administrative support costs for HMS and its affiliated institutions should be assured. External sources of support may include research and training grants from governmental and private sources, such as federal and local agencies, philanthropic gifts, industry, foundations and hospitals.

- It is expected that gifts shall be solicited and procured with the knowledge, approval, and, in some cases, support of the **HMS Office of Resource Development (ORD)**. As noted under **initiation and review**, a fund-raising plan is required in the IPCI application and annually thereafter.
- Similarly, industry support should be coordinated via the **HMS Office of Technology Development** or its equivalent.

In addition to Dean's office oversight, each unit will be overseen by the **HMS Office for Finance**, which will work with the unit in reviewing annual operating budgets and in monitoring performance over time.

Industry Relations: Collaborations with industry may provide resources to support the research and/or educational missions of centers. Because, however, such relationships have the potential to create real or perceived conflicts, center directors are required to disclose both current and proposed industry collaboration and/or support of a unit's activities, including but not limited to financial support and/or involvement in governing boards and committees. Industry relations will be examined by the Office of the Dean for Faculty and Research Integrity for potential conflicts of interest as part of the review process for initial applications and annual reviews of Centers.

Review/Metrics: An internal review by the IPCI Committee will be held every 3 years, or more frequently at the Dean's discretion. In some instances, an external review may also be requested. In preparation for such a review, Center leadership should provide a written report,

including the budget (with sources and amounts of income, expenses, etc.), objectives, participants, progress, challenges, and future academic and financial sustainability plans in the subsequent 3- to 5-year period. Appropriate metrics for success should be developed prospectively. Continuance of a Center will be dependent upon demonstration of successful progress on these metrics as well as overall alignment of the Center with the goals and mission of HMS.

Sunset Provisions: If a unit (1) fails to provide a report and to undergo a formal internal review in its designated cycle or (2) loses appropriate funding for the entity type, then it will automatically cease to exist as the original recognized entity.

If a unit evolves over time and no longer retains a focus on its HMS-convening mission for interinstitutional collaboration in research and education, the IPCI committee, after informing the dean, will enter into a dialogue with the unit regarding its future oversight by IPCI. After consideration of the current status of the unit, the IPCI committee will meet to vote on whether to retain IPCI oversight over the unit and may recommend options for alternative institutional oversight. Ordinarily, the IPCI committee would set a deadline of 6-12 months for the sunseting process to be completed.

The sunseting of the IPCI entity will be memorialized in the minutes of the IPCI meeting and in the summary letter to the leadership of the IPCI entity.

Dean's Office Representative: The Committee on Oversight of IPCIs will nominate a senior member of the HMS leadership team to have oversight of the Center. The appointment decision will be made by the Dean of the Faculty of Medicine.

Advisory Committee(s): Internal and external advisory committees will be appointed, in consultation with the Dean, as necessary.

Faculty Appointments: Faculty appointments may be made only by and within appointing Departments.

*Current ORD Financial Guidelines: Programs start at \$5M, Centers start at \$20M, Institutes start at \$50M, typically funded over a 5-year period. Because initiatives represent new and often exploratory interdisciplinary activities, they are not defined by a specific amount of financial support.

**In accordance with a policy adopted by the President and Fellows of Harvard College on February 9, 1998, use of the "Harvard" name alone (i.e., Harvard Center for XXX) requires written approval from the Provost of the University. Use of the "Harvard Medical School" name (i.e., HMS IPCI for XXX) requires review by the HMS Use of Name Committee and their recommendation for approval by the Dean.