

DEAN'S POLICY AND OPERATING MEMORANDUM 3-07

OFFICE OF THE DEAN
UNITED STATES MILITARY ACADEMY
WEST POINT, NEW YORK 10996-5000

MADN-FLICR

31 January 2021

Memorandum No. 3-07

DEAN'S CENTERS

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1. Purpose.

a. This Dean's Policy and Operating Memorandum (DPOM) describes the role and function of Dean's centers (hereafter referred to as "centers") within the Dean's Directorate. It also provides guidance for the establishment, revision, and dissolution of officially sanctioned Academy centers within the Dean's Directorate. Nothing in this DPOM is intended to restrict the existing ability of Departments to task organize within their organization. The policies and procedures described herein are consistent with the guidance published in USMA Regulation 150-6, Academy Research. This is a major revision of DPOM 03-07 dated 15 May 2009 and replaces that document in its entirety.

b. A center should support cadet development, faculty development, and/or facilitate a DoD organization in achieving its academic mission. Centers are categorized as one of three types:

- (1) Research Centers: Dean's research centers implement the Academy's Institutional Research Policy as described in USMA Reg 150-6, para 2.b by facilitating research relevant to the disciplines taught by faculty in the sponsoring organization. They may reside in departments or be components of the Dean's Staff. Each Dean's research center will have a designated Director who will be a faculty member. Dean's research centers must be enrolled in and comply with the provisions of the Research Operations Compliance Program (ROCP) as described in USMA Reg 150-6, Appendix D.
- (2) Program Support Centers: Dean's program support centers support curricular, faculty, or cadet development outside of research. They may reside in departments or be components of the Dean's Staff. Each Dean's program support center will have a designated Director who will be a faculty member. Dean's program support centers

are not enrolled in the ROCP; they will maintain fiscal compliance through the mechanisms of their parent organization.

- (3) Partnered Research Centers: Partnered research centers are physically located at USMA and perform USMA research functions, but are staffed through the personnel authorizations of external organizations. Partnered research centers are typically chartered by a Memorandum of Agreement or similar authorization document between USMA and their host organization, are governed by the requirements of that document, and will normally be paired with an academic department. Partnered research centers may be supported by appropriated funds from their host organization. Those funds are not considered reimbursable funding for the purposes of USMA Reg 150-6 and are not subject to the ROCP (but are subject to the host organization's Internal Control Program) or the Reimbursable Personnel Support Fee (RPSF). Funds coming to partnered research centers from organizations other than their home organization are considered reimbursable funds and are subject to the ROCP and RPSF. Partnered research centers may seek relief from other provisions of USMA Reg 150-6 through the procedures outlined in USMA Reg 150-6, para 2.b.5.

c. Each center shall have an Academic department or Dean's staff section designated as its sponsoring organization. The sponsoring organization is responsible for all oversight functions of the center as listed in paragraph 3, below.

2. Applicability.

These policies and procedures apply to all centers belonging to organizations within the Dean's Directorate. Other Directorates may elect to use these policies as well for their centers or adopt their own procedures. Since USMA Reg 150-6 designates the Dean as the proponent for Academy Research, proposals concerning research centers outside the Dean's Directorate will be staffed through the Office of the Dean. A current list of all USMA research centers can be found at <https://www.westpoint.edu/centers-and-research>.

3. Responsibilities.

- a. These responsibilities supplement and provide greater clarity to those listed in USMA Reg 150-6, para. 3. The responsibilities in that section apply to research centers; the responsibilities listed below apply to all centers within the Dean's Directorate.
- b. Vice Deans. Perform oversight functions as listed in para 3.d., below, for centers residing in the Dean's Staff. The Vice Dean for Operations shall designate an existing Vice Dean to oversee individual centers in the Dean's Staff; different Vice Deans may oversee different centers.
- c. Chief of Faculty Learning, Innovation, Collaboration, and Research (FLICR).
- (1) Serve as the staff lead for all actions concerning centers.
 - (2) Generate and make available best practices for center functions, to include buy-out of faculty time, changes in center leadership, and center participation in Academy processes such as the Academy Research Council (ARC).

d. Department Heads

- (1) Propose the establishment/revision/dissolution of centers within their organizations.
- (2) Direct procedures for personnel, equipment, and financial accountability of center activities. These procedures may mirror those established for the entire department or be tailored for unique center requirements.
- (3) Define roles and responsibilities for their center Directors.
- (4) For centers belonging to more than one department, ensure that an existing MOA or similar authorization document designates one Department Head as having primary responsibility for the center. This responsibility may rotate among departments through procedures clearly laid out in the authorizing document.

e. Center Directors

- (1) Lead the center pursuant to the guidance provided by the Department Head or Vice Dean.
- (2) Develop and maintain assessment metrics for the center. For research centers, these assessment metrics will fulfill the requirement in USMA Reg 150-6, para. 3.h.8, for performance metrics.
- (3) Advise the Department Head or Vice Dean on all activities within the center's purview.

4. **Establishment of a new Academy center within the Dean's Directorate**

- a. Prior to establishing a new center, the sponsoring organization will carefully review the missions and capabilities of related centers and organizations inside and outside of the Dean's Directorate. A new center will only be proposed after the sponsoring organization determines that the proposed mission is not duplicative of an existing organization, that other organizations are unlikely to adapt to meet the need, and that the proposed mission directly supports the functions listed in para 1.b.
- b. A proposal for a new Dean's center will contain, at a minimum, the following elements:
 - (1) Rationale and Purpose. Explain the reasons why the center should be established. Discuss how the center will fulfill a function listed in para 1.b.. Explain the intended purpose of the center, to include its goals, metrics to gauge accomplishment of the goals, and the planned mechanisms for achieving those goals. Include a proposed mission statement for the center.
 - (2) External Engagement. Identify any agencies external to USMA whose sponsorship or cooperation is essential to the center's success. Explain the nature and scope of the intended relationship between the external agency and the center. Attach draft memoranda of understanding or other agreements that will need approval (see USMA Reg 150-6, Appendix E, for agreements used at USMA and their approval authorities). Attach a draft Needs Statement (managed by Academy Advancement) if

gift funding will be sought.

- (3) Estimated Resource Requirements. The requirements below should be stated on an annual fiscal year basis. They should differentiate among the start-up period, expansion year(s), and steady-state operations.

- (a) Personnel. Describe projected roles within the center. Include a table that identifies each role, its personnel category (military, civilian [T5/T10], or contractor), the rank or pay grade, the Full Time Equivalent (FTE), the departmental affiliation, and the estimated annual funding required to fill the role. For centers planning to have more than one individual in a role (e.g. multiple researchers), indicate the minimum and maximum number of personnel in those roles. Discuss the impacts to teaching as a result of the center establishment (e.g. currently assigned personnel with a reduced teaching load, new personnel taking on responsibilities.)
- (b) Space. Specify the space requirements for the center and how the space will be acquired. Identify any departments/agencies responsible for the intended space.
- (c) Equipment/Infrastructure. Specify the equipment needs, including information technology, and other specialized infrastructure requirements (e.g. non-standard power supply or floor weight rating). Estimate the cost in this category and how the items will be acquired/installed.
- (d) Contracted Services. Identify any contracts that will be required for the operation of the center. Specify whether these contracts will be on a one-time basis or renewed annually. Identify who the Contracting Officer Representative will be for the contract(s).
- (e) Other Resources. Identify the annual forecasts for travel and supplies and equipment for the center.
- (f) Type/Source of Funding. Indicate the planned type(s) of funding (appropriated/gift/reimbursable). Describe the sources of initial funding (i.e. which organizations the funding is coming from), with the understanding that funding organizations may evolve over the life of the center.

- (4) Adjacent operations. Identify the other Academy organizations (inside and outside the Dean's Directorate) that currently conduct work in the center's proposed field. Explain how the center's mission, goals, and mechanisms relate to those of the other organizations. As relevant, describe how the center will deconflict its work from those other organizations (to avoid duplication of effort) and/or distinctively complement existing centers (to realize greater mission gains through collaboration, partnership, etc).

c. Prior to staffing the proposal with departments, the sponsoring organization will provide the proposal for review to the Dean's Budget Cell, the Associate Dean for Strategy and Initiatives, the Associate Dean for Curriculum and Assessment, and the Chief of FLICR. Those offices will provide comment and feedback to the sponsoring organization, including identifying other Dean or Academy agencies who have equities in the proposal. After that feedback, the sponsoring organization will seek legal review from the Office of the Staff

Judge Advocate.

d. After completing the staff coordination described in 4.c., above, the sponsoring organization will staff the center proposal to all academic departments, along with any other USMA agencies affected by the center's establishment. The sponsoring organization will prepare a summary of all department and agency feedback. That summary will also include specific responses to any instances of non-concurrence. The sponsoring organization will present the summary and a revised proposal to the General Committee for an approval briefing. The approval briefing should specify any changes made as a result of the staffing processes. The General Committee will approve, disapprove, or direct changes to the proposal.

e. Upon approval by the General Committee, a program support center proposal passes directly to the Dean for approval. A research center proposal will pass to the USMA Secretary of the General Staff (SGS) with the Dean's endorsement for Superintendent approval.

5. Revision of a Dean's Center Name/Mission

a. As operating environments or resource situations evolve, Dean's centers may likewise need to transform their name, mission, and/or goals. Minor adjustments of goals, names, and/or mission may be approved by the Department Head. Per USMA Reg 150-6, para 3.b.4, substantial changes of center name, mission, and goals must be approved by the Dean. The Dean will assess what constitutes a "substantial change." The revision process will also be used to transfer ownership of a center between departments.

b. A revision proposal for a Dean's center will contain, at a minimum, the following elements:

(1) Proposed Changes. Specify the exact changes to be made in the center's name, mission, goals, and/or ownership. Include the previous name, mission, goals, and/or ownership.

(2) Rationale. Describe the reason for the change. The rationale should include:

(a) The change in the operational environment, resourcing, or other evolution that is driving the center changes.

(b) Previous changes or evolutions since the center's establishment.

(c) Functions supporting other organizations that will be added.

(d) Functions supporting other organizations that will no longer be performed and the impact on those organizations.

(3) Resource Impacts. Identify any changes in resourcing requirements for the categories listed in para. 4.b.3, above. If the center is gift funded, verify that the changes are still consistent with donor intent.

c. The sponsoring organization will provide the proposal for review to the Budget Cell, the Associate Dean for Strategy and Initiatives, the Associate Dean for Curriculum and

Assessment, and the Chief of FLICR. The Chief of FLICR will consolidate the Dean's Staff feedback in a summary memo to the Dean, along with a recommendation for approval or disapproval of the proposal. If the Chief of FLICR recommends disapproval, the Department will be afforded the opportunity to include a rebuttal to the disapproval recommendation.

d. The Dean will review the proposal and approve or disapprove it.

e. A Department Head may opt to put a center in an inactive status. Centers in an inactive status are not staffed or eligible to receive funding, but are not formally dissolved. They are not listed on the roster of active centers listed in paragraph 2, above. To place a center in an inactive status, a Department Head will notify the Dean in writing of the reasons for the inactivation, any required coordination with external organizations as a result of the inactivation, and the conditions necessary for the reactivation of the center. To reactivate a center, a Department Head will notify the Dean in writing of the conditions facilitating the reactivation of the center. If the reactivation involves a substantial change of center name, mission, or goals, it will be staffed as a revision according to the procedures of the above paragraph.

6. **Dissolution of a Dean's Center**

a. Major changes in the operational environment or resourcing may necessitate the dissolution of a Dean's center. This is a significant step that should only be taken if the sponsoring organization determines that the need for the center has passed and a revision of the center's name, mission, and/or goals is unwarranted. Dissolution of a Dean's center may also be directed by the Superintendent.

b. A dissolution proposal for a Dean's center will contain, at a minimum, the following elements (some of which may be derived from a dissolution directive):

(1) Rationale. Describe the reason for the dissolution. The rationale should include:

- (a) The change in the operational environment, resource situation, or other evolution that is driving the dissolution.
- (b) Functions supporting other organizations that will no longer be performed and the impact on those organizations.
- (c) Any dissenting views on dissolution of the center from other organizations besides the sponsoring organization.

(2) Resource Impacts. Identify how the center's personnel and equipment will be reallocated. Describe any remaining funding under the center's purview and how it will be closed out. Include a plan for archiving of center documents and research for historical purposes.

c. The sponsoring organization will provide the dissolution proposal for review to the Budget Cell, the Associate Dean for Strategy and Initiatives, the Associate Dean for Curriculum and Assessment, and the Chief of Faculty Development. The Chief of Faculty Development will consolidate the Dean's Staff feedback in a summary memo to the Dean, along with a recommendation for approval or disapproval of the dissolution proposal. If the Chief of FLICR recommends disapproval, the Department will be afforded the opportunity to include a

rebuttal to the disapproval recommendation. As part of the staffing, the General Committee will be notified of the intent to dissolve the center and given the opportunity to provide feedback.

d. The Dean will approve or disapprove a dissolution proposal for a program support center. For a research center, the Dean will forward the proposal to the USMA SGS with a recommendation for Superintendent's approval or disapproval.

7. **Proponent:** The proponent of this Dean's policy and operating memorandum is the Chief of FLICR, 845-768-3990.

FOR THE DEAN OF THE ACADEMIC BOARD:

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