



UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES

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Office of the President
PPM-003-2019 (SOM)

SUBJECT: USU Centers

JUL 30 2019

A. Purpose. The purpose of this President's Policy Memorandum (PPM) is to identify the criteria that define a Uniformed Services University of the Health Science (USU) center and to formalize the process by which a Center can be established.

B. References. *See Enclosure 1.*

C. Applicability. This policy applies to all the schools, agencies, institutes, consortia, programs and centers that comprise the USU.

D. Policy. This PPM formally establishes the criteria and process to establish and sustain a USU Center.

E. Background. Over the course of USU's 45-year history, the scope and reach of the University have broadened beyond its original construct. Today, the University oversees not only four distinct schools but 16 individual centers that give USU the ability to contribute directly to the readiness of the American warfighter. In addition, there are a number of smaller initiatives and programs within the University that are seeking approval to become a formal USU Center. To date, the University has not established criteria or processes to facilitate such a designation or to conduct standardized review of existing Centers.

F. Authorities.

1. USU Centers are University assets, aligned under the President.
2. The President may appoint a Dean or another official to serve as his or her executive agent to oversee a particular Center.
3. The Council of Center Directors (CCD) coordinates USU Centers and facilitates communication and the bidirectional exchange of information and University directives in one consolidated body. The CCD works to promote USU Centers, their effectiveness and their alignment with the University mission.

G. Definitions of a Center. A USU Center is a funded, multi-disciplinary organization within USU designed to generate knowledge and/or materiel products through the conduct of research, training or educational activities. The mission and activities of USU Centers are aligned with military requirements and are aimed at supporting the readiness and health of the Warfighter and all Military Health System (MHS) beneficiaries, supporting the readiness and training of operational units, educating scientists and health professionals, and improving the effectiveness of the MHS.

H. Criteria of a Center. To be a USU Center, a candidate organization must meet the following criteria:

1. Scope. The organization must have a focus that transcends a single academic department or school/college and is demonstrably aligned with DoD requirements and/or priorities of the MHS.

2. Charter. The organization must have a charter approved by the President of the University or by his designated executive agent. The general structure of a charter for a USU Center is contained in Annex A-Center Charter (*Enclosure 2*).

3. Strategic Plan. The organization must have a strategic plan approved by the President of the University or by his designated executive agent. The general structure of a strategic plan for a USU Center is contained in Annex B-Center Advisory Boards (*Enclosure 3*) and must address resource requirements.

4. Governance Structure. The organization must have a governance structure that consists of at least:

a. An approved alignment either directly under the President of the University or under a Dean designated by the President as his executive agent.

b. A strategic-level Board of Advisors (BoA) consisting of both internal and external stakeholders and approved as an element of the Center's charter. The BoA provides high level guidance and oversight of the organization. Samples of strategic-level advisory boards are contained in Annex C-Template for a Center Strategic Plan (*Enclosure 4*).

c. If so desired by the Center Director, an operational-level committee or work group(s) may be formed consisting primarily of internal experts to support the director in his or her leadership of the organization. The operational-level committee would serve as a support mechanism for the director and the routine workings of the organization.

5. Functional/Structural Design. The organization must have a specified list of functions with a matching structural design that identifies personnel, positions, qualifications, responsibilities and functions (e.g. "manning document").

6. Sustained Resources. The organization must have a source of sustained funding such as core funding through the DoD Program Objective Memorandum (POM) process.

I. Process for Becoming a USU Center. In order to become a USU Center, the candidate organization must meet all the above criteria and adhere to the following process:

1. Identify a Proponent. The candidate organization must have an individual who is designated as the proponent and is responsible for managing the Center accession process. The proponent must be approved by either the President of the University or by a Dean.

2. Develop and brief a proposal for the Center. This proposal should contain, at a minimum, the proposed approach to each of elements that will be contained in the charter and should be presented to the President or his designated representative for review and approval. An example of such a proposal is contained in Annex D-Template for a Center Proposal (*Enclosure 5*).

3. Develop the Charter. If the concept is approved, the proponent must develop a proposed charter. The USU Office of Strategic Planning will provide support to this process. This process will include input from key stakeholders identified by the proponent.

4. Brief the Charter. The proponent must then brief the draft Charter to the President or to his designated representative for review and approval.

5. Develop the Center's Strategic Plan. Based on the approved Charter, the proponent must then develop a strategic plan for the Center. The USU Office of Strategic Planning will provide support for this process. This process will include input from key stakeholders identified by the proponent.

6. Brief the Center's Strategic Plan. The proponent must then brief the draft strategic plan to the President or to his designated representative for review and approval.

7. Determine Resource Requirements. Based on the approved strategic plan, the proponent will then develop resource requirements for consideration, review and approval by the USU president or the executive agent, including;

a) Personnel requirements.

b) Physical infrastructure requirements.

c) IT requirements. The Office of the Chief Information Officer will assist in this task.

d) Proposed core funding to meet requirements. The Office of the Vice President for Finance and Administration will assist in this task.

8. Prepare an Implementation Plan, including timelines and milestones with Initial Operational Capability (IOC) and Full Operational Capability (FOC) dates.

J. Processes for Existing USU Centers. All existing USU Centers must meet the criteria contained in section H above, IAW timelines developed by the Center Director and approved by the President or his executive agent for the Center. When a center has completed its mission or can no longer meet the criteria outlined above, the President will consider either closing the center or transferring responsibilities to other organizations within USU.

K. Release. This policy is approved for release to all personnel and organizations with involvement or interest in the USU centers.

L. Effective Date. This PPM is effective immediately.

A handwritten signature in black ink, appearing to read "RW Thomas".

Richard W. Thomas, MD, DDS, FACS
President

Enclosures:

1. References
2. Center Charter
3. Center Advisory Boards
4. Template for a Center Strategic Plan
5. Template for a Center Proposal

References

- a. PPM 022-2017, "Council of Center Directors", 28 July 2017.
- b. USU Strategic Plan (2019-2023).

Annex A
Center Charter

The outline below is a general example of the structure of a charter for a new or existing USU Center. Center directors/proponents may modify this structure depending upon the design and purpose of the center it supports. In general, the proposed or modified center charter should be no longer than five pages and include the following:

1. Background. Including history of the candidate center, its underpinnings, its accomplishments to date and external factors that will influence the center in the future.
2. Purpose. An expression of the purpose of the charter (e.g. ...to establish and empower the xx center, to define its scope and responsibilities and to provide a foundation for future growth and expansion).
3. References, including:
 - a. External documents (including relevant laws, national strategies, DoD instructions and other authoritative documents. External documents may also include relevant research from other institutions or organizations).
 - b. Internal documents (including USU and school/college strategies, directives, precedents and related plans).
4. Authorities. A brief description of who is in charge, including the designation of an Executive Agent to oversee the center on behalf of the USU president, if applicable.
5. Key definitions. Ensuring that all stakeholders, including those not necessarily familiar with the specialty of the center, understand appropriate terminology.
6. Mission. A brief description of what the center is designed to accomplish and for whom.
7. Functions. A list of the tasks and purposes for which the center will be responsible.
8. Structure and Organization. A description of how the center is to be organized to match the functions it is chartered to accomplish. If appropriate, this paragraph may include a "wiring diagram". This paragraph should also include the center's chain of command.
9. Governance. Including the establishment and processes of a Board of Advisors or other oversight body.
10. Operations: A description of how the center will do its job, including inter alia:
 - a. Internal management of the center.

- b. Coordination with stakeholders within USU, including schools, colleges and other centers.
- c. Coordination with external stakeholders, including appropriate authorities.

11. Planning, including:

- a. The requirement to develop a strategic plan for the center that aligns with the USU Strategic Plan and, for centers internal to a school/college, also with its strategic plan.
- b. Other plans required by external stakeholders (e.g. the DoDI requirement for an annual research plan for AFRRRI).

12. Reports. Including both internal and external reporting requirements.

13. Duration of the charter and the process for review.

14. Approval. The President USU is the approving authority for a USU center's charter. The Dean of a school/college is the approving authority for a school/college center.

15. POC. Identifying an individual by position or name who is the proponent for the center.

Annex B
Template for a Center Strategic Plan

The outline below is a general example of the structure of a 3-5 year strategic plan for a new or existing USU Center. Center directors/proponents may modify this structure depending upon the design and purpose of the center it supports. In general, the proposed or modified center strategic plan should include the following:

1. Purpose. A brief description of what the strategic plan is designed to accomplish (e.g. The purpose of the xxx Center Strategic Plan is to serve as a roadmap guiding the center to accomplish its mission and achieve its vision).
2. References. Similar to the references list contained in the Charter.
3. Background. A description of the environment, including SWOT-derives opportunities and threats.
4. Assumptions. Suppositions about the future that should be considered before the center makes key decisions on strategic objectives, specific initiatives and associated courses of action. Assumptions should be both valid (likely to be true) and necessary for the execution of the plan.
5. Mission. Modified from the approved charter.
6. Vision. Where the director/proponent wants the center to be at the end of the 3-5 year planning period.
7. Mission Domains. The strategic themes that describe the collective scope of that the center does. (NB: these themes should roughly align with those of the University or school/college but may be expanded or modified as appropriate for the center.)
8. Strategic Objectives:
 - a. 3-5 in number
 - b. Measurable
 - c. Concise in description
 - d. Long-term in scope
 - e. Basis for shorter-term programs and initiatives.
9. Enabling Objectives. Tasks that must be accomplished to enable the achievement of strategic objectives.

10. Metrics and Measures of Performance. The means by which the center can assess its progress.

11. Resource Requirements, including:

a. Sustained, multi-year funding through the USU resource planning process or other USG budget commitments.

b. Extramural funding for selected research.

c. Physical facilities, meshed with the USU Facilities Strategic Plan.

d. IT requirements.

12. Risk Analysis Methodology. The means for determining the impact of resources shortfalls on achieving strategic objectives.

Annex C
Center Advisory Boards

There are a variety of advisory organizations, the nature of which are determined by the unique nature of the center; by any associated law, regulation or policy, or by external or internal requirements. The charter of the advisory body should be included as an annex to the center's charter. (NB: Depending upon the nature and needs of the Center, there may be more than one such body arranged in a hierarchy that includes the senior-level Board of Advisors and standing and ad hoc working groups. The charters for such groups should follow the same format as the senior-level BoA).

Below is an example of a Board of Advisors annex to a center charter.

Anne X
XXX Center Board of Advisors

1. Mission. The mission of the Board of Advisors (BoA) is to provide strategic guidance, assistance and oversight to the Center.
2. Scope of Authority. The BoA serves as the Center's highest body for strategic advice and serves at the pleasure of the USU president.
3. Responsibilities:
 - a. Understanding the needs of the warfighter and the MHS and the support that the Center can provide to enhancing readiness.
 - b. Ensuring that Center activities and operations are consistent with its original charter.
 - c. Providing advocacy for the Center within USU and with external stakeholders.
 - d. Guiding the strategy, performance, talent and integrity of the Center.
 - e. Providing overall strategic direction for the program.
 - f. Reviewing the Center's strategic plan, including all near, mid, and long term objectives.
 - g. Authorizing any major deviations from the agreed upon and approved Center plans.
 - h. Reviewing and approving the completion of each Center milestone, including the deliverables, and giving approval to start the next stage.
 - i. Advising on the strategic communications of the Center's mission, objectives and deliverables to other organizations and stakeholder groups.

j. Reviewing resource requirements and advocating for prioritization within the USU resource process.

k. Making recommendations on the closing of a Center when its mission is completed or the criteria for being a USU center are no longer achievable.

4. Operations:

a. The BoA will convene at least semi-annually to receive updates from the Center Director.

b. The Center Director will provide staff support to the BoA, including the preparation of meeting agendas, and the development, approval and distribution of meeting minutes.

c. Ensuring that periodic program reviews are scheduled and occur as required.

5. Composition:

a. Chair:

1) (Name/Position)

2) Responsibilities: The Chair is responsible for convening and overseeing regular and special meetings of the Board; ensuring that relevant materials are provided prior to and after meetings; communicating with agency leadership as required.

b. Co-Chair:

1) (Name/Position)

2) Responsibilities: The Co-Chair is appointed by the Chair and assumes all responsibilities of the Chair when the Chair is unavailable.

c. Members:

1) Internal USU (school/college) members by name/position

2) External USU (with appropriate authorities)

3) Others as determined by the Chair

Annex D Template for a Center Proposal

The content of a proposal to establish a center will vary, depending upon the nature of the center, the current status of its components and guidance received from within USU or from external authorities. In general, however, a proposal to establish a USU center should contain the following elements that form the foundation for a draft charter.

1. Center name. The proposal should begin by identifying a proposed name for the center. The name should:
 - a. Be short and simple.
 - b. Convey the thrust line of the center.
 - c. Lend itself to shortened abbreviation that is easy to remember.
2. Background. The proposal should contain a convincing background that describes the environment – both current and future – in which the center operates. Background should include:
 - a. Current status of program(s) which will evolve into the center, if such programs already exists.
 - b. A brief description of other centers and activities, either within USU or across the broader MHS and USG.
 - c. The relevant portions of higher-level strategies (e.g. national security, defense, MHS, COCOM) that underscore the need for the proposed center.
 - d. Budgetary thrust lines, demonstrating that resources can be reasonably garnered.
3. References. Including authoritative guidance that either mandates or recommends requirements that the center is designed to fulfill.
4. Mission. The proposal must contain a concise statement of what the center will do and for whom it will do it.
5. Center accession workplan, including:
 - a. Timelines and Milestones, describing how the proponent will meet the requirements to become a center as outlined in the governing PPM.

- b. Responsibilities, including recommendations on an Executive Agent for the center.
 - c. Support from USU that the proponent will need in order to gather data necessary to meet the requirements of this PPM.
 - d. In process reviews, including key decision points for the USU president.
6. Approval signature line: Whereon the USU president will convey his decision on whether or not to proceed through the center accession process.