

Memorandum

To: Interim Provost Michael Licari

From: Center and Institute Review Process Committee

Nancy Cobb, Associate Provost for Faculty Affairs, Chairperson
Kamyar Enshayan, Director, Center for Energy and Environmental Education
Stephen Gaies, Professor, Languages and Literatures; Director, Center for Holocaust and Genocide Education
Alan Heisterkamp, Interim Director, Center for Educational Transformation
Mary Losch, Director, Center for Social and Behavioral Research
Hillery Oberle, Director of Corporate and Foundation Relations, University Advancement
Randy Pilkington, Executive Director, Business and Community Services
Debra Rich, Assistant Director, Jacobson Center for Comprehensive Literacy

Date: December 17, 2014

Re: Completed work of this committee

The Center and Institute Review Process Committee has completed the charge you presented us in September. Included in this document are the

- Process to Request to Establish a New Center/Institute (which includes a definition of Centers/Institute).
- Process for Annual Review of Existing Centers (the result of which will recommend continuation or further review of the center).
- Continuation Review Document (the result of which will recommend continuation or dissolution of the center).
- Recommended structure of Center and Institute Review Committee.

The committee met seven times with each meeting lasting almost two hours. Each committee member also completed outside research to bring ideas to the group and reviewed drafts of the developed documents numerous times.

The committee suggests that, at the beginning, these processes should be “operational guidelines,” and the processes documented be subject to refinement. However, once any wrinkles are smoothed out, the committee recommends that the documents should be put forward as university policy.

We respectfully submit this report as the culmination of our work.

UNIVERSITY OF NORTHERN IOWA

REQUEST TO ESTABLISH A CENTER OR INSTITUTE

Definitions and Background

Centers and institutes provide vehicles for collaboration, typically interdisciplinary, to maximize the capacity of the University to address complex problems, conduct research, educate students, and serve the needs of the state, the nation, and the world. They advance the University's instructional, research, and service missions and priorities. They provide enhanced research opportunities, facilities, and assistance for faculty, staff, and students that cannot be offered through existing structures or units, but center missions should not duplicate those of departments, schools, colleges or other centers. University centers and institutes are organized administrative units that:

- provide support to faculty, staff, and/or students for research, instructional, and/or public service/community endeavors that benefit from coordination across multiple perspectives and units;

and/or

- result in strengthened and enriched programs in research, teaching, and/or service; enhanced opportunities for faculty, staff, students, and the public; and heightened economic impact in the state;

and/or

- ensure the professional curation of scientific, scholarly, natural, or cultural resources and collections and provide these to organizations and individuals within the university and/or in the larger community for the purposes of research, education, and public service.

Centers and institutes are separate administrative units with separate operating budgets and may be organized under a school or college or they may operate across the university under the auspices of the Provost or the President. Centers and institutes may require initial and/or ongoing university funding to support their mission and work.

Centers and institutes do not have jurisdiction over academic curricula. They may only develop and offer courses in cooperation with academic departments that would list such courses under the departmental curricula.

The terms "center" and "institute" are used interchangeably; however, the term institute sometimes reflects a broader scope and may indicate a unit containing smaller centers within it. For purposes of this document and the forms included, we will use the term "center" to mean both.

Units or programs that are not considered university centers or institutes under these policies include those facilities that include "Center" in the name but whose mission is to provide

focused services to specific university or community constituencies. Examples include but are not limited to:

- The Writing Center;
- The Center for Excellence in Teaching and Learning;
- Buildings that are called centers, e.g., the McLeod Center;
- Centers focused primarily on clinical care, e.g. the Counseling Center;
- Centers embedded within larger centers or institutes; and
- Entities within departments that would be more appropriately considered research, public service or clinical services programs of individual faculty members.

REQUEST TO ESTABLISH A NEW CENTER

Establishing a new center or institute provides an opportunity for a university to support its mission, particularly in the areas of research and public service/economic development. The concept proposal will be reviewed by the Center and Institute Review Committee. Please keep in mind the definitions and background above.

The process involves multiple steps: First, you will submit a concept proposal for review by the Center and Institute Review Committee. Concept proposals will be due for review by the committee once per semester on or around October 1 and March 1. Following the review and positive recommendation, you will be asked to complete a full proposal which includes a seven-year work plan and a seven-year budget. Full proposals are due at the next submission date along the same timeline (October 1 and March 1). In both cases, signatures from your department head or immediate supervisor and the appropriate dean or unit will be required. If the full proposal is approved by the Center and Institute Review Committee, it will be forwarded to the Provost for his or her review/approval, then to the President for review/approval, and finally to the Board of Regents for its review/approval. Only after Board of Regents approval will the center be authorized to operate.

Step 1: Concept Proposal

Instructions:

Describe in 1000 words or fewer the general idea of the center. Include in your description the following:

- Need (includes university, community, state or beyond)
- Purpose and unique role at UNI
- General activities that will be pursued,
- How the center will align with the university's strategic plan goals/objectives,
- What sources of funding that will be sought (University general funds? Grants and contracts? Donations? Income through providing services?)
- Indication as to how the center will be judged as being successful.
- Space requirements for the center
- Information Technology Requirements
- Any other information that you think will be important for review by the committee

Remember that the readers (committee) may not have expertise in your area so language should be clear and concise. Following successful review by the committee, you will be asked to complete a more detailed process which will include a five-year budget and work plan.

Proposed title of center or institute: _____

Approximate date to establish center or institute: Month _____ Year _____

Contact person's name _____ Phone _____ Email _____

College and Department which will house the center:

Signatures:

Proposer

Supervisory signatures: By signing this proposal, you indicate that you have read the concept paper and support the development of a full proposal.

Department Head or Immediate Supervisor

College Dean (if applicable)

Committee Use Only:

Approved to submit full proposal _____ **Not approved** _____

Chairperson, Center and Institute Committee

Feedback from Committee:

REQUEST TO ESTABLISH A NEW CENTER

Step 2: Full Proposal

Instructions:

The process of establishing a new center involves two steps of which this is Step 2:

Please attach the original concept paper with all approval signatures.

Proposed title of center: _____

Approximate date to establish center: Month _____ Year _____

Contact person's name _____ Phone _____ Email _____

College and Department which will house the Center:

1. Briefly describe the mission and purpose of the proposed new center (200 words or fewer).
2. Briefly describe the need for the proposed center. For example, is there a need in the university, community, the state or beyond (100 words or fewer)?
3. Describe the goals and activities for the proposed center.
4. How will success of the proposed center be measured?
5. How will the work of the center be disseminated?
6. Explain the relationship of the proposed new center to the institutional mission and the role of the center in the UNI Strategic Plan. Name the goal(s) and/or objective(s) of the UNI Strategic Plan to which this center will align itself, and briefly describe how the center will help the university meet this/these goal(s) or objective(s).
7. Explain the relationship (if any) of the proposed new center to other existing centers/institutes or departments/units at UNI

8. Describe how the proposed center will enhance other activities at the university.

9. Describe the relationship of the proposed new center to existing centers at other colleges and universities (if any) in Iowa, including how the proposed center is unique or has a different emphasis than existing centers at other colleges or universities. (If there is no relationship to another center in the state, please skip (a) and (b) below).
 - a. Can the other institution accommodate the need for the new center through expansion or collaboration?

 - b. Has the possibility of an inter-institutional or other cooperative effort been explored? What are the results of this consultation? (Consider not only the possibility of a formally established inter-institutional center, but also how special resources at other institutions might be used on a cooperative basis in implementing the proposed center solely at the requesting institution.)

10. Describe special features or conditions that make UNI a desirable, unique or appropriate place to initiate such a center, e.g. physical, cultural, academic or other.

11. Describe the personnel, facilities, and equipment for proposed center. [Complete the expenses portion of the 7-year budget spreadsheet].
 - a. Describe the personnel that will be required to establish and maintain the proposed center over a 7-year period. Include all positions and indicate the Full-Time Equivalent (FTE) for which there will be work on the center. In addition, list any course-release(s) necessary for an existing faculty member.

 - b. Describe the facilities that will be required to establish and maintain the proposed center.

 - c. Describe the equipment, supplies and/or services that will be required to establish and maintain the proposed center. (should align with budget proposal)

 - d. Describe the information technology systems and services that are necessary to support the center. Examples include

- equipment (i.e., computers, printers, scanners, mobile devices)
 - servers and data storage
 - software
 - cloud-based services
 - data network connectivity (wired, wireless)
 - communication services (i.e., voice/phone, email, video conferencing)
 - web site hosting and/or development
 - custom application development
 - instructional technology services
- e. In what other ways do you need/expect the university to provide support for this center (examples may be legal counsel, public safety, etc.)?
12. What are the expected/anticipated/needed funding sources and amounts for the proposed center [Complete the revenue portion of the 7-year budget spreadsheet]?
- a. Describe the process used to identify and verify funding sources:
 - b. If less than 100% of the needed funding is presently committed or in place, describe your plan for securing funding (address both internal and external funding):
 - c. Describe any alternative funding sources or strategies not listed above:
13. How long is the center expected to be in existence? If a longer term (more than seven years) indicate the justification for the continuing need for the center.
14. Should this center require a full-time commitment from a faculty member (e.g. as director), indicate what plan there will be for that faculty member should the center close.
15. Include any additional information that justifies the development of this center/institute.

Make sure you attach the 7-year Work Plan and 7-year Budget.

Signatures:

Proposer

Supervisory signatures: By signing this application, you indicate that you have read full proposal and support the establishment of this center/institute.

Department Head or Immediate Supervisor

College Dean (if applicable)

Center and Institute Review Committee Use Only:

Approved: _____ Not Approved: _____

Chairperson, Center and Institute Review Committee

Date: _____

Approved:

Provost

Date: _____

President

Date: _____

Education and Student Affairs Committee Approval Date: _____

Board of Regents Approval Date: _____

Seven-Year Work Plan for Establishing a New Center

I. Restate the Goals from #3 on the first page of the application.

II. Create a detailed work plan for the first two years of the center. For each academic year, identify the goal(s) that will be addressed and objectives that will help the center meet those goals. Be sure to align work you are projecting with budget requests for the same year.

A. Academic Year 1

B. Academic Year 2

III. Create a general work plan for years 3-7 of the center. For each academic year, identify goal(s) that will be addressed and objectives that will help the center meet the goals. Align work activities with budget requests.

A. Academic Year 3

B. Academic Year 4

C. Academic Year 5

D. Academic Year 6

E. Academic Year 7

CENTER ANNUAL REVIEW

Each University of Northern Iowa Center is required to complete and submit the following information regarding the previous academic year's activities and finances by **October 1**. This Annual Review will document activities and successes as well as the financial position of each center. The information received in this document will assist in planning for the following academic/fiscal year.

The Center and Institute Review Committee will meet in the Fall of each year in order to review the report for each center and to recommend either approval of the center to continue in good standing or to request a more complete review, the "Center Continuation Review." Concerns, in prioritized order, that would trigger a "Center Continuation Review" are the following:

- 1) Lack of alignment with the University's Strategic Plan,
- 2) Negative financial balance,
- 3) Leadership void, or
- 4) Lack of activity and/or meaningful impact.

Name of Center _____ Report for Academic Year 20__-20__

Name of Director or Person filing this report _____

Contact Information for the above person: Phone _____ Email Address _____

1. State the Center's Purpose or Mission

2. Whom do you serve? What are your primary activities and services? List the key outcomes of the Center's work for the reporting period.

3. During the last academic year, which of the following has the center served/impacted? (Check and report on all that apply, and if possible, provide the quantity of participants in each category)

| Group | Numbers |
|---|---------|
| ___ UNI student's | ___ |
| ___ UNI faculty | ___ |
| ___ PK-12 student's | ___ |
| ___ PK-12 faculty | ___ |
| ___ PK-12 administrator's | ___ |
| ___ State and/or Local Governments | ___ |
| ___ National or international groups/entities | ___ |

4. During the last academic year, what were the sources and amounts of funding received? (*note: on the fillable form, there will be check boxes*)

___ University General Budget Funding

___ Provost Amount _____

___ College Amount _____

___ Department Amount _____

___ Other Name _____ Amount _____

___ University Foundation Funding

Amount allocated for this fiscal year _____

___ External Funding

Sources and amounts

Total revenue (university funding, foundation funding, external funding) _____

5. Total projected or actual expenses of the center/institute during this fiscal year?
_____ (If applicable, please attach the most current financial statement of the center).

6. Do any full-time faculty who work in your center receive course buy-outs or releases for their work in your center? If yes, complete the following:

How many total course releases/buyouts? _____

For each course *release*, describe the role in the center of the faculty who receive the release(s)?

What source funds the release or buyout? _____

7. How many FTE employees does the center/institute currently carry?

Faculty _____

Professional and Scientific _____

Merit _____

8. What are your priorities, goals or key activities for the 2015-2016 Fiscal Year?
9. What funding do you expect to receive in the following academic year?

University General Budget Funding

_____ Provost Amount _____

_____ College Amount _____

_____ Department Amount _____

_____ Other Name _____ Amount _____

_____ University Foundation Funding

Amount allocated for this fiscal year _____

_____ External Funding

Sources and amounts

For Committee Use only:

_____ Approved to continue in good standing

_____ Please complete the Center Continuation Review

Chairperson, Center and Institute Review Committee

CENTER CONTINUATION REVIEW

Instructions:

Name of center: _____

Contact person's name _____ Phone _____ Email _____

College and Department which houses the center:

1. Briefly describe the mission and purpose of the center (200 words or fewer).
2. Briefly describe the need for the center. For example, is there a need in the university, community, the state or beyond (100 words or fewer)?
3. Describe the goals and activities for the center.
4. How will future success of the center be measured?
5. How will the work of the center be disseminated?
6. Explain the relationship of the center to the institutional mission and the role of the center in the UNI Strategic Plan. Name the goal(s) and/or objective(s) of the UNI Strategic Plan to which the center aligns itself, and briefly describe how the center helps the university meet this/these goal(s) or objective(s).
7. Explain the relationship (if any) of the center to other existing centers/institutes or departments/units at UNI
8. Describe how the center enhances other activities at the university.

9. Describe the relationship of the center to existing centers at other colleges and universities (if any) in Iowa, including how the center is unique or has a different emphasis than existing centers at other colleges or universities. (If there is no relationship to another center in the state, please skip a and b below).
 - a. Can the other institution accommodate the need for center through expansion or collaboration?
 - b. Has the possibility of an inter-institutional or other cooperative effort been explored? What are the results of this consultation? (Consider not only the possibility of a formally established inter-institutional center, but also how special resources at other institutions might be used on a cooperative basis in implementing the proposed center solely at the requesting institution.)

10. Describe special features or conditions that make UNI a desirable, unique or appropriate place for this center to exist, e.g. physical, cultural, academic or other.

11. Describe the personnel, facilities, and equipment used by the center. [Complete the expenses portion of the 7-year budget spreadsheet].
 - a. Describe the personnel that are required to maintain the center over a 5-year period. Include all positions and indicate the Full-Time Equivalent (FTE) for which there will be work on the center. In addition, list any course-release(s) necessary for an existing faculty member.
 - b. Describe the facilities that are required to maintain the center.
 - c. Describe the equipment, supplies and/or services that are required to maintain the center. (should align with proposal)
 - d. In what other ways do you need/expect the university to provide support for this center (examples may be legal counsel, public safety, etc.)?

12. What are the expected/anticipated/needed funding sources and amounts for the center for the next five years [Complete the revenue portion of the 7-year budget spreadsheet]?
 - a. Describe the process used to identify and verify funding sources:
 - b. If less than 100% of the needed funding is presently committed or in place, describe your plan for securing funding (address both internal and external funding):
 - c. Describe any alternative funding sources or strategies not listed above:
13. Please attach a financial statement for the three previous Academic Years. Please include accounts receivables and payables.
14. How long is the center/institute expected to continue to be in existence? If a longer term (more than five years) indicate the justification for the continuing need for the center.
15. Should this require a full-time commitment from a faculty member (e.g. as the director), indicate what plan there will be for that faculty member should the center close.
16. Include any additional information that justifies the continuation of this center.

Make sure you attach the 7-year Work Plan and 7-year Budget.

Signatures:

Center Director

Supervisory signatures: By signing this application, you indicate that you have read full proposal and support the establishment of this center/institute.

Department Head or Immediate Supervisor

College Dean (if applicable)

Approval:

Chairperson, Center and Institute Review Committee
Signatures:

Proposer

Supervisory signatures: By signing this application, you indicate that you have read full proposal and support the establishment of this center/institute.

Department Head or Immediate Supervisor

College Dean (if applicable)

Center and Institute Review Committee Use Only:

Approved to continue: _____ Not Approved to continue: _____

Chairperson, Center and Institute Review Committee

Approved:

Provost

Date: _____

Seven-Year Work Plan for a Center

1. Restate the Goals from #3 on the first page of the Continuation Review.
2. Create a detailed work plan for the first two years of the center. For each academic year, identify the goal(s) that will be addressed and objectives that will help the center meet those goals. Be sure to align work you are projecting with budget requests for the same year.

Academic Year 1

Academic Year 2

3. Create a general work plan for years 3-7 of the center. For each academic year, identify goal(s) that will be addressed and objectives that will help the center meet the goals. Align work activities with budget requests.

Academic Year 3

Academic Year 4

Academic Year 5

Academic Year 6

Academic Year 7

CENTER AND INSTITUTE REVIEW COMMITTEE

The committee of nine members is comprised of

- One faculty or staff representative from each college (4); dean appointee
- One representative from Research and Sponsored Programs (1)
- One existing center director appointed by the Provost (1)
- One college dean (1)
- One representative from the UNI Foundation (1)
- Chaired by the Associate Provost for Faculty Affairs, who serves as the Committee Chairperson(1)

Committee members serve three-year terms. Upon initial formation of the committee, staggered terms of 1, 2 and 3 years are established in order to ensure continuity in the committee.

Responsibilities of the committee:

- 1) Accept and review concept proposals for new center twice per year (October 1 and March 1 deadlines for submission). Recommend that proposer be allowed to submit full proposal or not.
- 2) Accept and review full proposals for new centers and institutes twice per year (October 1 and March 1 deadlines for submission). Recommend to provost that center be established or not.
- 3) Accept and review annual reports by existing centers each fall. Recommend that center continue or recommend that center go through a more extensive review process.