**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 INSTUTUTE**

**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)

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**Committee Use Only:**

**Approved to submit full proposal\_\_\_\_\_\_ Not approved\_\_\_\_\_\_\_**

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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.

1. How will success of the proposed center be measured?

1. How will the work of the center be disseminated?
2. 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).
3. Explain the relationship (if any) of the proposed new center to other existing centers/institutes or departments/units at UNI
4. Describe how the proposed center will enhance other activities at the university.
5. 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).
6. Can the other institution accommodate the need for the new center through expansion or collaboration?
7. 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.)
8. 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.
9. Describe the personnel, facilities, and equipment for proposed center. [Complete the expenses portion of the 7-year budget spreadsheet].
10. 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.
11. Describe the facilities that will be required to establish and maintain the proposed  
    center.
12. Describe the equipment, supplies and/or services that will be required to establish and maintain the proposed center. (should align with budget proposal)
13. 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
14. In what other ways do you need/expect the university to provide support for this center (examples may be legal counsel, public safety, etc.)?
15. What are the expected/anticipated/needed funding sources and amounts for the proposed center [Complete the revenue portion of the 7-year budget spreadsheet]?
16. Describe the process used to identify and verify funding sources:
17. 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):
18. Describe any alternative funding sources or strategies not listed above:
19. 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.
20. 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.
21. Include any additional information that justifies the development of this center/institute.

16. Seven-Year Work Plan for Establishing a New Center

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

A. Academic Year 1

B. Academic Year 2

1. 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.
2. Academic Year 3
3. Academic Year 4
4. Academic Year 5
5. Academic Year 6
6. Academic Year 7

**Review and Approvals Page**

**Center, Department and College Signatures**:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Proposer (enter name)

*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 (enter name)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

College Dean (if applicable, enter name)

**Center and Institute Review Committee Use Only**:

Approved:\_\_\_\_\_ Not Approved: \_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_

Chairperson, Center and Institute Review Committee

**Provost Office: Approved:\_\_\_\_\_ Not Approved: \_\_\_\_\_**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

Provost

**Provost Office: Approved:\_\_\_\_\_ Not Approved: \_\_\_\_\_**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_

President

Education and Student Affairs Committee Approval Date: \_\_\_\_\_\_\_\_\_\_

Board of Regents Approval Date: \_\_\_\_\_\_\_\_\_\_