



Creation, Periodic Review, and Closure of University Centers, Institutes, Museums, and Laboratories

RESPONSIBLE ADMINISTRATOR: VICE PRESIDENT FOR RESEARCH & GRADUATE STUDIES
RESPONSIBLE OFFICE(S): VICE PRESIDENT FOR RESEARCH; COUNCIL FOR CENTERS, INSTITUTES, MUSEUMS AND LABS
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RONALD W. SMITH 11/07/2008

Ronald W. Smith, Vice President for Research Date

APPROVED BY THE PRESIDENT:

DAVID B. ASHLEY 11/14/2008

David B. Ashley Date

REVISION DATE: REPLACES THE DOCUMENT TITLED "2004 ORGANIZATION UNIT MEMBERSHIP CRITERIA"

STATEMENT OF PURPOSE

This policy describes the process by which centers, institutes, museums and laboratories within the University of Nevada Las Vegas ("University" or "UNLV") are defined, processed, approved, periodically reviewed, and closed.

ENTITIES AFFECTED BY THIS POLICY

University Academic Faculty, Departments, Schools, and Colleges

WHO SHOULD READ THIS POLICY

- University faculty interested in creating a new center, institute, museum or laboratory
- Faculty serving as directors of existing centers, institutes, museums or laboratories
- Department Chairs responsible for existing centers, institutes, museums or laboratories in their unit

- School Directors responsible for existing centers, institutes, museums or laboratories in their unit
 - Deans responsible for reviewing and endorsing proposals for new centers, institutes, museums or laboratories in their college
 - Vice Presidents responsible for reviewing and endorsing proposals for new centers, institutes, museums or laboratories within their area of responsibility
 - Faculty Senate Executive Committee
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POLICY STATEMENT

General administration and oversight of the (a) initial review/recommendation and (b) annual and 5-year review of University centers, institutes, museums, and laboratories falls within the Division of Research and Graduate Studies, with reporting through the Office of the Executive Vice President and Provost. The Council for Centers, Institutes, Museums and Laboratories (the “Council”) reports to the Vice President for Research. The Council is responsible for initial review and recommendation of new proposals as well as for conducting annual and five-year reviews of existing centers, institutes, museums and laboratories. The Council is available to provide ongoing assistance both before and after a unit’s formal approval.

Recommendations from the Council are forwarded to the Vice President for Research. The Vice President for Research, in turn, makes a recommendation to the Executive Vice President and Provost. Requests for new centers, institutes, museums and laboratories are then forwarded for processing through the Chancellor’s Office and the Nevada System of Higher Education Board of Regents (“Board of Regents”). After a new center, institute, museum or laboratory is approved by the Board of Regents, the day-to-day operational administration and oversight typically is through an academic department, school, or college.

No unit in the University may use the term “Center,” “Institute,” “Museum,” or “Laboratory” in its title without having received formal approval by the Board of Regents.

RELATED DOCUMENTS

-- *Board of Regents’ Handbook*, Title 4, Chapter 14, Section 5, “Addition or Change of New Degrees, Majors, Programs, Departments, Schools or Colleges.”

-- *NSHE Procedure Manual*, Chapter 6, Section 6, “Condensed Format for Consideration of Existing Program Changes.”

-- *NSHE Organizational Unit Proposal Cover Sheet* issued by the Office of the Vice Chancellor for Academic and Student Affairs.

CONTACTS

- Office of the Vice President for Research and Graduate Studies
 - Chair of the Council for Centers, Institutes, Museums, and Laboratories
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DEFINITIONS

A. General Definition

Centers, institutes, museums, and laboratories coordinate intra- and inter-institutional research, public service, and educational training activities that supplement and extend the University's mission. In some cases these units are established to provide the infrastructure needed to coordinate and support statewide activities across the Nevada System of Higher Education ("NSHE"). Unless supported by legislative statewide funding, it is generally expected that UNLV centers, institutes, museums and laboratories shall be fully self-supporting within three years.

It is recognized that some long-established units have titles that do not conform to the definitions or titles that follow (i.e., some centers operate like institutes in their activities, some units may have the title "Office of...", etc.). As such, these units may have widely known titles that cannot be conveniently changed. However, insofar as possible, new University units shall follow the titles defined below.

No unit in the University may use the term "Center," "Institute," "Museum," or "Laboratory" in its title without having received formal approval by the Board of Regents.

B. Individual Definitions

As noted under General Definition above, any Unit – regardless of its title – that operates like and meets the definitions below shall be subject to this policy.

Research Center or Institute: An organizational unit focusing primarily on research and scholarly activity where services are typically unrelated to internal administrative operations. A center or institute furthers research among a team of faculty/staff researchers and usually involves formal collaborations among more than one department, school, or college. It also provides a formalized link between the academic community and the professional community and is intended to facilitate efforts to obtain extramural funding in specific areas. Generally speaking, the terms "center" and "institute" are used interchangeably, although an institute will typically also engage in public service outreach activities.

Service Center: An organizational unit focusing primarily on training, client services, performing contracted work with external agencies, and public service activities. A service center provides an outreach link between the academic community and the local community in its area(s) of focus.

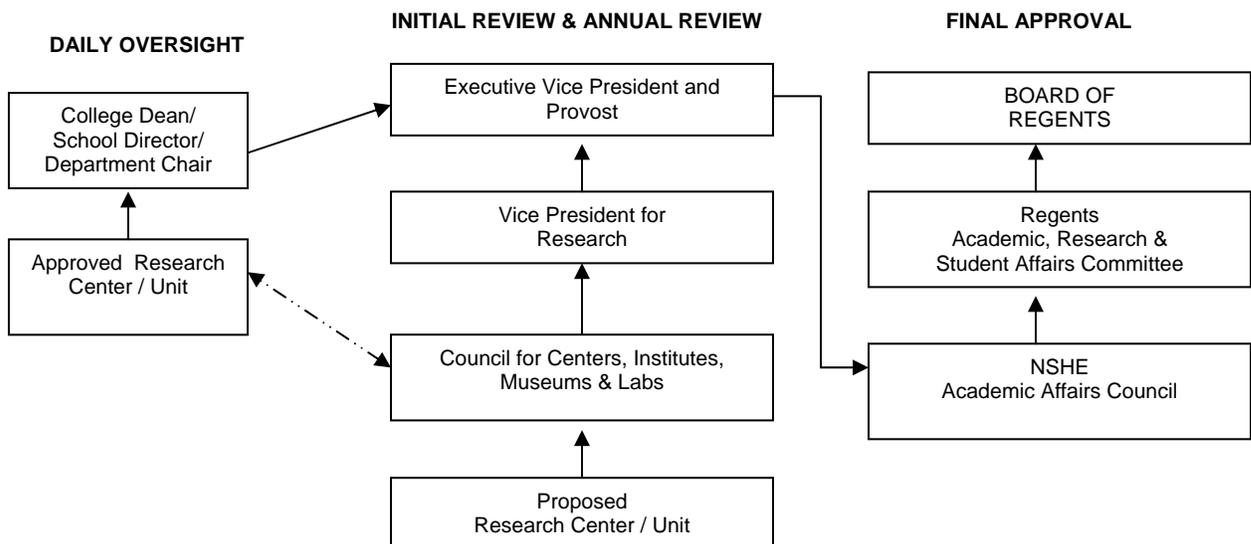
Museum / Archive: A unit open to the public and devoted to the acquisition, research, and display of objects or materials of lasting interest or value. It is organized on a permanent basis for educational and

research purposes and owns or uses tangible objects, whether animate or inanimate; cares for these objects; and exhibits or otherwise makes them available to the public.

Laboratory: A non-departmental organization that establishes and maintains facilities for research in several departments, sometimes with the help of a full-time research staff. (A laboratory in which substantially all participating faculty members are from the same academic department is a departmental laboratory and is not a designated research unit.)

Unit: As used in this Policy, “Unit” shall refer to a Research Center, Institute, Service Center, Museum or Laboratory.

OVERSIGHT AND PERIODIC REVIEW



A. Annual Review

No later than the end of each calendar year (December 31), each approved Unit shall submit a brief, electronic report to the Council in a format prescribed by the Council*. The report provides an important measure of administrative accountability and can be useful for promoting the successes of the Unit. The report will contain, but not be limited to, the following elements:

- a. Name of the Unit director, noting any change in the past year, and names of UNLV faculty members and staff actively engaged in or supervising the Unit's research within the last calendar year.
- b. Names of students and faculty participating from other campuses or universities.
- c. List and percent FTE of professional, technical, administrative, and clerical personnel employed.

- d. Names of graduate students and postdoctoral researchers directly contributing to the Unit who (a) are on the Unit's payroll and (b) participate--through assistantships, fellowships, or traineeships, or are otherwise involved in the Unit's work.
- e. List of publications issued by the Unit under its address line, including books, journal articles, and reports and reprints issued under its own covers, showing author, title, and date.
- f. Sources and amounts (on an annual basis) of all support funds, including income from the sale of publications and from other services.
- g. Expenditures from all indirect cost (F&A) accounts.
- h. Extent to which the Unit is self-supporting (i.e., ratio of grant funds to funds from state sources).
- i. Description and amount of space currently occupied and how each space is used (e.g., office, conference room, research lab).
- j. Any other information deemed relevant to the evaluation of a Unit's effectiveness, including updated three-year projections of plans and resource requirements where feasible.

*In consultation with the Chair of the Council for Centers, Institutes, Museums and Laboratories, selected Units that already provide required annual reports to external agencies may be allowed to submit such reports to satisfy the University's annual reporting requirement.

B. Five-Year Review

Every five years after initial establishment, all approved Units must demonstrate a rationale for continued approval based on, but not limited to, scholarly or scientific merit, publication outputs, fiscal health, and campus priorities. The procedures, forms, and timeline for this more substantive five-year review will be established by the Council and, as noted in Paragraph A above, may at the Council's discretion be coordinated with other required reporting requirements to reduce duplication of effort. Five-year reports must be submitted with a signature page to indicate continuing support for the Unit from administrators within its chain of command.

C. Procedure for Phase Out and Closure

The recommendation for closing a Unit may occur in one of several ways or a combination of these:

- At the request of the sponsoring department(s) or college(s).
- At the request of the University administration.
- Upon the recommendation of the Council as a result of concerns from one or more substandard reviews, including failure to comply with a review.
- At the request of the Board of Regents.

The recommendation to close a Unit must be processed on the required NSHE form through the Council, to the Vice President for Research and the Executive Vice President and Provost, to the NSHE Academic Affairs Council, and finally for approval of the Board of Regents.

The phase-out period for a Unit should be sufficient to permit an orderly termination, transfer, or resolution of contractual obligations, personnel, equipment, liabilities, and assets. Normally, the phase-out period should be, at most, one full year after the end of the academic year in which the decision is made to close the Unit. Units supported financially through grants and contracts shall follow exit

procedures established by the Office of Sponsored Programs (OSP). Both OSP and the Council can assist Unit personnel with closure procedures.

PROCEDURES FOR SUBMISSION OF PROPOSALS

A. General Procedures

1. Individuals or groups submitting proposals for the establishment of a Unit should meet first with the Chair of the Council to review the information required, the proposal format and desired content, the approval process, and anticipated timelines.
2. All proposals must use the prescribed format. Electronic versions of the proposal format, cover sheet, signature page, and budget sheet may be downloaded from the Division of Research webpage at www.unlv.edu/research.
3. All submissions will be made through respective chair/director, dean, and campus executive officers with final campus sign-off/approval by the Office of the Executive Vice President & Provost. Approval of the proposed Unit is not official until recommended by NSHE Academic Affairs Council, the Board of Regents' Student and Academic Affairs Committee, and approved by the Board of Regents. Prior to approval from the Executive Vice President and Provost, the proposal will be referred to the Council for a recommendation. The Council Chair can assist with estimating when Regents' approval might be scheduled, assuming timely processing of the proposal within the campus.
4. The Council will review all the proposals for preparation of a subsequent recommendation to the Vice President for Research and Executive Vice President and Provost. The Council has the authority to recommend or disapprove proposals and may request changes and additions to any proposal.
5. Proposers should be aware of the substantial lead time that is required to process a successful proposal through final approval. After internal campus processing, a proposal moves through two meetings of the Board of Regents, which are now held only four times per year. The Chair of the Council can provide specific time estimates for the entire process timeline. The proposal author must be available to answer questions at the scheduled Board of Regents' meeting or it will be rescheduled for the next meeting.

PROCESS OUTLINE

Proposal----->Council ----->Vice President for Research----->Exec VP & Provost----->
NSHE Academic Affairs Council----->Board of Regents' Academic Affairs Committee---->
Action by Board of Regents

B. Determination of Overhead / Indirect Cost Distribution

The percentage distribution of F&A (Facilities and Administrative) dollars resulting from sponsored research awarded to a Unit must be individually negotiated between the Unit and the dean (or vice president) prior to a proposal going forward. In some instances, further negotiations may need to be conducted between the dean and the Vice President for Research.

C. Name Change or Mission Change for Existing Units

Requests to change the name or substantially change the mission or reporting/organizational structure of an approved Unit follow the same approval path as new proposals. The request for a new name typically reflects (1) a desire to simplify the title; (2) new directions in the interdisciplinary, trans-disciplinary or multi-disciplinary research sponsored by the Unit; or (3) expansion or addition of new knowledge or fields of research to the Unit's mission. Depending on the scope of the request, the Council has the authority to determine whether the request constitutes an entirely new proposal rather than a name change.

EVALUATION CRITERIA FOR PROPOSALS

Review by the Council will take into consideration the following factors when evaluating new proposals. The content should be in plain language that can be understood by a layperson. The text should be heavy on specifics rather than generalities and include examples whenever possible. Well prepared proposals will address these points:

1. The potential for enhancement of the University mission in a manner that cannot be accomplished through an existing Unit or division. It should make clear how the new Unit will be greater than the sum of its parts (for example, by fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative and original research, or performing service and outreach to the public). Specifically, key questions to be considered, and which should be thoroughly addressed in the proposal, are: What value does creating the Unit bring that cannot be accomplished through the department/school's current organizational structure? Why can't the same goals/objectives be accomplished without creating a Unit? Will the Unit be team-driven and interdisciplinary, trans-disciplinary or multi-disciplinary?
2. The potential for receiving local, national and international grants, with particular emphasis on team-driven research. The Council will look specifically at whether an active or proposed team of faculty has already secured major grants and contracts to support the proposed mission and activities of the Unit. The proposal shall contain a research plan for the first three years of operation.
3. The logic and appropriateness of the intended administrative and organizational structure. Does the proposal describe the internal structure, provide an organization chart, and clearly outline reporting responsibilities? Is there an infrastructure in place to ensure future viability that is not tied to one faculty member? What is the future personnel outlook after current grants end? Proposals that are primarily driven by one person, rather than a team of faculty, will not be approved except in extraordinary circumstances. Generally speaking, proposals will be evaluated

more positively when they demonstrate how a group of faculty has already been working together informally for some time and has achieved a critical mass to warrant a formal relationship through a Unit.

4. The activities and intended achievements of the affiliated faculty/staff in the areas of research, creative activities, teaching and service. Curriculum vitae for all affiliated faculty should be provided to the Council. The experience of the core faculty in interdisciplinary, trans-disciplinary, and multi-disciplinary research collaborations should be addressed. Please provide examples of current or planned research, with emphasis on team research. Where might this work be published / disseminated?
5. Evidence of collaboration with other existing Units or other programs at the University or at other NSHE institutions. Include memoranda of understanding (“MOU’s”) or other agreements, if any. Information about existing collaborations should be specific and include examples of ongoing work.
6. Evidence of collaboration with other institutions of higher education. Include MOU’s or other agreements, if any. Information about existing collaborations should be specific and include examples of ongoing work.
7. The adequacy of current space/facilities to house the Unit or, if requested, the feasibility and appropriateness of additional space/facilities that will be needed, whether on-campus or rented off-campus. Provide a floor plan layout for the space in which the Unit will be housed. There must be a specific commitment from a dean or vice president for the space needed. Describe how any expanded positions shown on the organizational chart will be accommodated in terms of future office and/or laboratory space.
8. The feasibility and appropriateness of the budget plan. The proposal should demonstrate the appropriate administrative unit(s)’ commitment of funds, space, and other resources necessary for the successful operation of the proposed Unit. The proposal must demonstrate how the Unit anticipates becoming fully self-funded within three years. Does the budget appear to be realistic? Does the proposal demonstrate a reasonable expected ratio of appropriated funds to non-appropriated funds not available through current grant funding efforts? The proposal must clearly indicate personnel directly funded by the Unit and demonstrate the availability of such funds.

REQUIRED ELEMENTS OF A PROPOSAL

All proposals must contain the following elements for consideration and approval: (a) cover sheet, (b) narrative proposal, (c) letters of support, (d) budget sheet, and (e) signature page. These documents are to be submitted electronically as Word documents through a dean or vice president to the Office of the Vice President for Research, who will forward the proposal to the Council.

A. Cover Sheet & Signature Page

1. Using the form provided herein, provide a cover sheet indicating:

- a. The desired name of the Unit. NOTE: The University encourages succinct, less verbose titles.
- b. The desired date of implementation. NOTE: Units may not operate prior to receiving official approval from the Board of Regents.
- c. A brief description (120 words or less) of the Unit's core mission and purpose.
- d. If available, provide the name and title of the proposed director; his/her business address, telephone number, fax number, e-mail address; and proposed web site address for the Unit.
- e. Identify key terms/phrases that indicate the major areas of focus for the Unit. These terms will be used as identifiers in a searchable database.
- f. Secure appropriate signatures as detailed on the University signature page.

B. Letters of Support

Provide a minimum of two letters of support from appropriate chairs, directors, and deans that specifically address why the goals/objectives of the proposed Unit cannot be achieved without the creation of a separate Unit. The letters should describe what external awards / administrative value / efficiencies a separate Unit would add that could not be achieved through the current administrative structure of the department or college.

C. Narrative Proposal

Please use the following subheadings and outline format for the narrative proposal:

1. Mission Statement and Goals & Objectives

- a. Summarize in 120 words or less the core mission and purpose of the proposed Unit.
- b. Specify (in a bulleted or numbered list) a maximum of 5 key goals and objectives in each of 3 areas – Teaching, Research, and Service. If any one area is not applicable, so indicate.
- c. Specify how the Unit will allow faculty/staff/students to do what they could not do solely in a departmental or divisional setting.

2. Major Participants or Collaborations

- a. Internal: Clearly note other participants or collaborators internal to campus that will be associated with the new Unit. If there are no such affiliations with other collaborators, the proposal should indicate the reasons why the proposed Unit would operate as a completely stand-alone Unit within the University and also detail the efforts made by the proposed Unit to identify and solicit appropriate associations with other collaborators.

- b. External: Indicate other institutions of higher education, if any, which will be associated with the Unit, including efforts by the proposed Unit to identify and solicit such associations.

3. Evidence of Contact Within & Between Units

- a. Provide specific information about current and past collaborations and examples of ongoing work, including efforts by the proposed Unit to identify and solicit such associations. Attach MOU's or other agreements, if any.

4. Physical Location

- a. Provide information on the space/facilities to be dedicated to the Unit for its first three years of operation. If space/facility has not already been procured or allocated, provide information regarding the projected space requirements and any commitments for space from the chair/dean.
- b. Describe how any expanded positions shown on the organizational chart will be accommodated in terms of office and/or lab space.

5. Organizational Structure and Staffing

- a. Provide a description of the internal structure and an organizational chart, including details (name, rank, association, contact information) of all personnel who would be associated with the proposed Unit during its first three years of operation. Also detail the primary functions/ contributions of such personnel and provide a curriculum vitae for each of these persons. For proposals involving more than one institution, provide this information for each participating institution as well as giving the statewide structure.
- b. Identify all projected permanent positions by FTE, title, function, and salary for the first three years the Unit will be in operation. The total number must agree with the numbers provided on the budget sheet.
- c. Provide the projected number of graduate assistants and post-doctoral scholars to be assigned to the Unit during its first three years of operation.

6. Activities To Be Sponsored

- a. Provide a description of activities in which the Unit will be involved. If courses or seminars will be offered through the proposed Unit, provide estimated enrollment and specify if they will be offered for academic credit and applicable to a degree program. Organize the activities in terms of those that would be recurrent each year and those that would be undertaken on a sporadic or long-term basis. For each activity, clearly state the extent of the Unit's role as either direct involvement, support, or sponsorship.
 - i. Teaching
 - ii. Research/creative activities
 - iii. Public service/training/contracts

7. Budget Plan

- a. Using the approved budget sheet, provide estimated operating expenditures, equipment costs, travel, number of FTE positions, GAs, and salaries for the first three fiscal years.
- b. On the budget sheet, identify and detail the current sources of funding for the proposed Unit in terms of state funds (if any), F&A proceeds, grants, contracts, and donations for the first three years of operation.
- c. List any other pending or anticipated funding sources, such as contracts and grants, which will be pursued by the Unit.
- d. Demonstrate how the Unit anticipates becoming fully self-funded within three years. Provide a description of the anticipated return in investment of state or soft-money dollars.
- e. List the proposed Unit's percentage overhead/indirect cost return as negotiated with the college dean.

8. Website Plan

- a. Provide a proposed website URL for the Unit. Assistance can be provided by the Chair of the Council or from the Office of the Vice President for Research.
- b. Provide a short list (e.g., 5-7) of searchable key words/phrases that would assist the general public in finding your Unit's webpage when searching UNLV's website.
- c. Indicate advance contact with the UNLV Office of Information Technology's Web Communications staff (name of person and date) regarding procedures for creating a website and plans for updating the content over time.

REQUIRED ELEMENTS

All proposals must include three forms, which may be downloaded from the Division of Research webpage at www.unlv.edu/research:

1. Cover Sheet form
2. Narrative Proposal
3. University Signature Page
4. New Organizational Unit Proposal Budget Sheet

**PROPOSAL COVER SHEET
FOR NEW CENTER, INSTITUTE, MUSEUM OR LABORATORY**

INSTITUTION: University of Nevada, Las Vegas

DATE SUBMITTED:

PROPOSED NAME OF UNIT:

PROPOSED DATE OF IMPLEMENTATION:

██████████ *(Specific action being requested)*

██

Brief Description and Purpose of Unit *(120 words or less)*

Proposed Director *(Name and title; address, phone and fax numbers; e-mail address)*

Proposed Website Address

Searchable Key Words/Phrases

UNIVERSITY SIGNATURE PAGE

The submission and signing of a proposal to establish a University center, institute, museum or laboratory constitutes a commitment by the undersigned administrators to ensure that the proposed unit's activities support the mission and the goals of the institution. All signatures should be provided electronically.

Signatures:

_____ Proposed Unit Director (<i>if already known</i>)	_____ Date	_____ Chair/Director of Department	_____ Date
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_____ Dean of School/College	_____ Date	_____ Chair, Council for Centers, Institutes, Museums & Laboratories	_____ Date
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_____ Vice President for Research	_____ Date	_____ Executive Vice President and Provost	_____ Date
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**NEW ORGANIZATIONAL UNIT PROPOSAL
 Budget Sheet**

Personnel					
Include faculty, staff, GAs, wages		Year One	Year Two	Year Three	Three Year
Position Title	%FTE	Total	Total	Total	Total
Total Salary					
Total Fringe					
Total of Salary and Fringe					
Travel					
Operations/Other					
Equipment					
Office Supplies					
Other Materials					
Total Direct Costs					
Sources of Funding		Year One	Year Two	Year Three	Three Year
		Total	Total	Total	Total
State Funds					
Grants & Contracts					
Current					
Projected					
Federal Appropriations					
Proceeds from F & A					
Private Donations					
Other (list)					
Negotiated Indirect Cost Return					
List percentage the Unit will receive from the college's F&A allocation for grants received by the Unit					