Research Policy Committee Minutes
8:30 am – 9:45 am
Wednesday, May 8, 2013

Members present
Walter Gerstle (chair), Civil Engineering
Teresa Neely, University Libraries
Kristopher Goodrich, College of Education
Yu-Lin Shen, Mechanical Engineering
David Hanson, Biology
Tobias Fischer, Earth and Planetary Sciences
Michele Huff (ex-officio), University Counsel
Arash Mousavi (GPSA)

Members NOT present:
Barbara West, OVPR (ex-officio)
Cathy Qi, Educational Specialties (excused)
Mary Anne Newhall – College of Fine Arts
Cassiano De Oliveira, Chemical and Nuclear Engineering (excused)
Stephen Lau, Mathematics and Statistics
Raj Shah, Biochemistry and Molecular Biology (north campus)
Lisa Kuuttila (ex-officio), STC (excused)
Scott Freundschuh, Geography (teaches Wednesdays at 9 am) (excused)
Richard Larson (ex-officio) HSC Chief Academic Officer

Guests:
Tim Ross, past president, Faculty Senate, ex-officio

Minutes: taken by Teresa Neely and Walter Gerstle and edited by Walter Gerstle

Attachments:
- List of Centers and Institutes
- Draft Policy A89

1. Approval of Agenda – Approved

2. Introductions

3. Approval of Minutes of April 17th meeting – Approved
   Discussed meeting time for next semester. Neely will send out Doodle Poll in August. 1st meeting will be held in September.

4. **Centers and Institutes**. D. Hansen led the discussion of Draft Policy A89. The policy is really long. T. Ross suggested the policy could refer to A88 instead of including the text in the proposed policy. A88 needs to be modified to limit its scope. We need a resolution to accomplish this. Not present in the draft is when a Research Center changes its focus (i.e.

internal change of organization). Concern was raised where multiple centers may be in competition with each other as a result of the change in focus. Perhaps the policy should have a 5-year review clause. A suggestion was made to change the title of the policy. It is currently: Policy and Procedures for Research Units at the University of New Mexico: Creation, Review, Reorganization, and Termination. Discussion of where principles would go (and still be available for reference) if they are not in the policy. Reviewed the new Faculty Handbook layout and organization. M. Huff provided background on the new layout. Principles could be embedded in the policy. Contract-focused centers need to be reviewed further in fall 2013. T. Ross suggested Tom Long from HSC is included in the loop on the committee's work. Anywhere in the policy where Provost of the President is included, there should be a reference to HSC Chancellor or Vice Chancellor.

Michele Huff sent (after the meeting) a list of Centers and Institutes (attached).
Who is responsible for maintaining a list of Centers – University Secretary? A89?

Action Item: D. Hansen will draft resolution that shows the changes in A88 and the new policy, A89.

5. **Executive Research Administrative Committee (ERAC).** No ERAC report, as no members of ERAC were present. Discussed EVPR search, which so far has failed to find an EVPR. Arash is on the search committee. The search committee will go deeper into the pool of applicants.

6. **RAC Policy.** The question of why RAC funds cannot be used to support graduate students has been raised. Gerstle subsequently attended a RAC committee meeting (on May 14) and asked the RAC Committee what they thought about funding graduate students using RAC funds. There was some disagreement between members. The issue should be discussed in the Fall.

7. **Next Meeting Time and Venue.** Tentatively, but will check in August:
   - September 18
   - October 16
   - November 20
   - December 18

Gerstle will continue to serve as Chair in 2013-2014, the second year of his 2-year term.

8. **Adjourn** 9:45AM.

UNM Centers & Institutes* 2008-2009

Main Campus

School of Architecture & Planning
Design & Planning Assistance Center (DPAC)	277-8526
Resource Center for Raza Planning (RCRP)	277-8526

College of Arts & Sciences
Alfonso Ortiz Center for Intercultural Studies	277-2251
Albuquerque Teachers' Institute	277-5027
Center for Advanced Studies	277-8602
Center for Environmental/Infomatics and Art (CERIA)	277-1360
Center for Rapid Environmental Assessment and Terrain Evaluation (CREATE)	277-2644
Center for Research in Ecological Science & Technology (CREST)	277-2551
Center for Science, Technology and Policy (CSTP)	277-3115
Center for the Southwest	277-7688
Consortium of the Americas for Interdisciplinary Science	277-0848
Earth Data Analysis Center (EDAC)	277-3622
Feminist Research Institute	277-1198
Institute for American Indian Research (IfAIR)	277-1753
Institute for Astrophysics	277-2616
Institute for Medieval Studies	277-2252
Institute for Meteoritics	277-1644
Institute for Public Policy	277-1099
Institute for Social Research	277-4257
International Studies Institute	277-3833
New Mexico Center for Particle Physics	277-2616
Office of Contract Archeology	277-5853
Peace Studies	277-5564
Resource Geographic Information System (RGIS)	277-3622

College of Education
Center for Family and Community Partnerships	277-9382
Family Development Program	277-5800
Institute for American Indian Education	277-0577
Institute for Professional Development	277-1999
Latin American Programs in Education	277-4972
Multicultural Education Center	277-7768
New Mexico Research & Study Council	277-2621

School of Engineering
Alliance for Transportation Research Institute (ATR)	246-6410
Center for Biomedical Engineering (BCME)	277-6395
Center for Nuclear Non-proliferation Science and Tech.(CN2ST)	277-5431
Institute for Space & Nuclear Power Studies (ISNPS)	277-5442
Manufacturing Training & Technology Center (MTTC)	272-7150

College of Fine Arts
Tamarind Institute	277-3901

School of Law
American Indian Law Center, Inc. (an independent corporation with close ties to the School of Law)	277-5462
Institute of Public Law:	
Center for Wildlife Law	277-5006
Corinne Wolfe Children's Law Center	
Government Regulation Center	
Rozier E. Sanchez Judicial Education Center of NM	
Transportation Safety Law Center	
Utton Transboundary Resources Center	277-7809

POLICY AND PROCEDURES FOR RESEARCH UNITS AT THE UNIVERSITY OF NEW MEXICO: CREATION, REVIEW, REORGANIZATION, AND TERMINATION

(Target for consideration for approval by Faculty Senate, March/April, 2013)

Rationale for policy revision: (this rationale section is not intended to be part of of the policy)

As per policy A61.16 of the Faculty Handbook, the primary role of the Research Policy Committee is to encourage and support research and its funding at the University of New Mexico, including all its established units. This includes formulating policy regarding the establishment, major modification or termination, periodic review of research units (e.g., centers, bureaus, institutes, or other related organizations), and to appraise and provide recommendations to the central administration and the Faculty Senate on proposals regarding these bodies.

Our goal with this major policy revision is to collaborate with the central administration to ensure that existing policies and procedures are clear and readily available to the faculty. The overarching principle of this project is to ensure that the interests of the faculty are met without being overly burdensome to the administration. Current policy and procedures are not readily available to faculty members and this is hampering research on campus. There are at least five current documents on campus that address policies and procedures for research units, none of which are comprehensive, and are difficult for faculty to locate. The existing documents are the current version of policy A88 in the Faculty Handbook, policy A61.16 in the Faculty Handbook (describing the charge of the Research Policy Committee), UNM Policy 2425 in the University Business Policies and Procedures Manual (addressing facilities and administration costs), an "Interim Policy for Centers and Institutes at the University of New Mexico Nov 17, 2000 revision" which is in currently in effect but not readily available, a "Governance and Administration of Research Centers" version 5 from April 20, 2012 for the School of Engineering, and a "Draft Report of the Centers and Institutes Task Force" from March 24, 2011 that is not available for circulation. In addition, the Nov 17, 2000 revision of the interim policy refers to an earlier version from 1997 that is also not readily available, nor are the revisions implemented in 2000 clear. Lastly, the current version of policy A88 in the Faculty Handbook refers to guidelines prepared by the Research Policy Committee that are not currently available unless they are the guidelines presented later in the policy. The proposed revision seeks to clarify and simplify the policy and procedures for creating, reviewing, reorganizing, and terminating research units at the University of New Mexico.

Introduction

According to section A61.16 of the Faculty Handbook, the Research Policy Committee is charged with the formulation and review of the policies governing research units. This policy covers the creation, review, reorganization, and termination of all University of New Mexico

research units (e.g., centers, institutes, bureaus, or related organizations) that report to the Provost (or designee). These research units will be referred to herein as "Research Centers."

All proposals to create, maintain, re-organize, or terminate Research Centers must follow the policies and procedures as described below. These include the detailed procedures for consideration and approval referred to herein and established by representatives of the Provost's Office and the Faculty Senate Operations Committee in consultation relevant unit heads (e.g., Dean's, Directors, Chairs).

This policy makes the core operating assumption that Research Centers play an inevitable, integral, and increasing role in modern research universities. These roles stem from two facts: First, cutting edge research in most academic disciplines is increasingly multidisciplinary and interdisciplinary in nature. Second, research centers encourage thematically focused but synergistic research collaborations that go beyond those that occur in traditional academic departments. This enhances both the intellectual impact of the research as well as extramural funding opportunities.

Ten principles serve as the foundation for this policy on Research Centers:

1. UNM is, and should remain, a flagship state research university.

2. UNM should actively foster and encourage the creation, development, evolution, sustainability, and reformation of Research Centers.

3. There should be clear and consistent rules, conditions, and procedures for the formation, operation, evaluation, sustainability, and termination of all Research Centers.

4. There should be demonstrable value added by the creation and continuation of all Research Centers. That is, it is incumbent upon those wishing to create or continue a Center to demonstrate that its stipulated objectives cannot be effectively accomplished within existing University structures. In addition, these objectives should clearly be in concert with the University's fundamental mission of education, research, and service.

5. Research Centers should be eligible for all available sources of funding, including I&G, extramural grants and contracts, F&A, gifts, donations, and endowments.

6. All Research Centers should be completely transparent in both their sources of funding and their use of funds.

7. Depending upon their scope and range of academic units involved, there should be different levels or categories of Research Centers.

8. Related to Principle 7, to facilitate the integration of Centers into the mission of the most relevant academic units, they should be managed at the most local administrative level.

9. Regardless of category, there should be consistency across Centers in terms of the rules, operating procedures, and reporting and evaluation mechanisms that govern Centers. This acknowledges that Centers will vary with respect to focus, objectives, and outcomes, but the

rules and procedures that govern their creation, operation, and continuation should be consistent.

10. The University should encourage and provide incentives for the formation of collaborative, multidisciplinary Research Centers through its budgeting, hiring priorities, and strategic planning, including capital projects.

Policy

When a new Research Center is proposed, or a proposal is made to make major changes in an existing Research Center, approval of the UNM Faculty Senate and the Provost is required. Approval of the proposed action must be sought and obtained prior to initiating operation of a new Research Center, or making major changes in existing Research Centers. This approval is necessary for Research Centers located on or off the UNM Albuquerque campus, including new branches or education centers.

1. "Major changes" is defined for purposes of this document as merger of two or more Research Centers, or division or dissolution of a Research Center.

This policy is not meant to apply organizational changes within an integral Research Center with no implications outside that Research Center.

Research Center Organization

With the goal of Research Centers to facilitate faculty research beyond that which can be achieved in departments alone, it is critical that Research Centers are formed at the level within the institutional hierarchy that best supports this aim. The organizational structure that describes this goal is outlined below:

Category I:

Category I Research Centers exist within departments, with Directors reporting to the relevant department Chair. These Centers are appropriate in cases where the majority of affiliated faculty and the scope of research both generally lie within the confines of a traditional academic department, yet the creation of the Center would expand and enhance the research opportunities beyond those possible by relying on the traditional existing department infrastructure alone.

Category II:

Category II Research Centers exist within colleges, but outside of the traditional department framework, with Directors reporting to the cognizant Dean. These Centers are appropriate in cases where the majority of affiliated faculty and the scope of research span multiple departments, but mostly remain within the confines of a single College or School. Category II Centers should expand and enhance research opportunities beyond those possible by relying on the traditional department and college/school infrastructure.

Category III :

Category III Research Centers exist alongside Colleges or Schools, with Directors reporting to a higher-level administrator, such as the Provost or Vice President for Research.   Category III Centers are appropriate in cases where the affiliated faculty and the scope of research span multiple Colleges or Schools.

Contract-focused Centers:

There are several Centers existing across campus that, while critical to supporting UNM's core mission of Teaching, Research, and Service, operate outside the realm of what is considered "typical" of a university research center. These Centers (such as the Institute for Applied Research Services or the Earth Data Analysis Center) make critical contributions to the core mission of the university, but receive a majority of their funding in the form of contracts rather than grants, and a majority of their research activities are sponsored by non-federal agencies (such as state agencies, private companies and foundations) While this policy applies to all of UNM's Centers, it is recognized that representatives from these organizations should work with the Provost's Office and the OVPR to develop procedures and guidelines specific to the operation of contract focused centers.

The Life Cycle of a Center

Proposal Phase:

The life cycle of a Research Center begins with the proposal phase, during which faculty, staff and administrators must work together to build a strong case for the university to invest in a research center. The university research administration should be provided evidence of the intellectual value of the Research Center beyond what can be achieved within the departmental or college structure.. The proposal should highlight opportunities for attracting sustainable outside funding, for collaboration among faculty from disparate units, for advancing knowledge or technology, and for support of graduate student education

The proposal should clearly identify the scope of the Research Center, in particular which academic units will be contributing resources, including faculty time, staff, facilities and funds. Proposals to fund Centers should acknowledge, and reflect, the sources contributing resources. Commitments from each source should be delineated over time, for finite or recurring terms. Proposal should have funding plans for the short (e.g., one to five years) and the long (e.g., decades) terms. These plans should include funding sources (i.e. research grants, F&A return, and I&G funds), as well as plans for expenditures. It is expected that initial or start-up funds will come from the administrative levels at or above the level at which the Center is created. Proposals should identify the administrative structure, particularly the roles of faculty and the Director, who will be a faculty member at the University of New Mexico.

Proposals to establish Research Centers should be reviewed by the following: *Category I Research Centers level will be reviewed by a committee made up of department faculty, Category II Research Centers will be reviewed by a committee of faculty from across the College or School, and Category III Research Centers will have proposals reviewed by a committee with faculty from across the university. The recommendations of these committees will be used by the RPC of the Faculty Senate who will make the final recommendation to the appropriate university administrators.*

Establishment Phase:

Once established, all resources for a Research Center must be organized, including building space, equipment, staff, faculty appointments, and effort shares. Research Centers should have an advisory committee formed by faculty or staff deemed appropriate to the mission of the Center. Advisory committees should review the operations of the Center, including the annual budget, the annual report and selection of the Director. Members of the Advisory committee should be outside faculty or staff members who do not have a personal stake in the establishment of the Research Center.

Initially the Director will likely be a PI on a research grant to establish the Research Center, however it could be that the Director would be chosen from a group of potential candidates. The Director is appointed by the administrator appropriate to the Center's category, and the conditions of the appointment and the term of service, including options for renewal, will be clearly stated in the appointment letter. Initial terms should coincide with the logical term of the establishing grant, or four years in the absence of such a condition.

As a broad guideline, being the Director of a Center should be seen as part of a faculty member's research load, which constitutes part of the overall faculty member's workload, combined with teaching and service components. Only if the faculty member's research load increases beyond that considered standard or normal in the home department should the faculty member's teaching and service load be reduced. However, within College and department guidelines, the faculty member may use grant money to partially release teaching responsibilities.

Directors must be evaluated regularly by a representative group of people. Evaluations should be "360-degree" processes involving Research Center faculty, staff and students, as well as any constituencies of the Center, particularly if the Center is involved in teaching or providing services beyond the University community. Those familiar with the nature and level of research being conducted should evaluate the activities of a Research Center. The review must occur on a regular basis, and at least once every 5 years. Guidance for the review is drawn from the proposal for the center and must include criteria for evaluation of the center vitality, achievement of goals, resource allocations and budgets.

Termination/Reinvention Phase:

The regular review processes should reveal when a Research Center is experiencing difficulty in managing resources or achieving its expressed goals. Although the Director, advisory committee and other unit administrators would be expected to take action to support and recover the Center, they are also responsible for terminating or "sunsetting" the Center, as well as redirecting the resources to other areas of the university when necessary. The reinvention and redirection of Research Center activities should be completed via a process similar to that for creating a new Center.

Proposals to terminate Research Centers may be initiated by faculty or administrators but must be reviewed by a committee of faculty researchers; the recommendations provided by this group should then be reviewed at the appropriate administrative level, dependent on the category of the Research Center. *Category I Centers level will be reviewed by a committee of*

department faculty, Category II Centers will be reviewed by a committee of faculty from across the College, and Category III Centers will have proposals reviewed by the RPC of the Faculty Senate.

Procedures

Detailed procedures for creating, reviewing, reorganizing, and terminating Research Centers at the University of New Mexico are likely to be revised periodically to meet the research needs of our faculty. The Provost and the Faculty Senate must approve any revisions., Records of revisions must be maintained and made freely available to all faculty members. In addition, the current procedures must be made accessible in a single location on the website and in the Office of the Vice President for Research (OVPR). The posted procedures must also clearly reference and provide access to any other documents relevant to the formation, maintenance, or termination of a Research Center (e.g. UNM Policy 2425 in the University Business Policies and Procedures Manual addressing facilities and administration costs). Finally, this location must also contain an annually updated list of all research units governed by the Provost and a summary of the most recent review for each Research Center.