



Centers, Institutes, and Bureaus Interim Guidance Document

1. FOREWORD

The existing CIB approval policy has gaps and inconsistencies and is not applicable to recent policy changes and practice by the Utah Board of Regents. We expect a full revision of the CIB approval process will be handled by an Academic Senate committee in the near future.

I propose to use an interim policy for CIB approval based upon the existing CIB approval sequence. This approval sequence is modified to implement the recommendations of my white paper to the Academic Senate Executive Committee, dated October 2, 2017.

2. INTRODUCTION

In alignment with the mission of the University of Utah, which includes rigorous research, teaching, interdisciplinary and global inquiry, and involvement in public life, the establishment of approved centers, institutes, and bureaus (CIBs) provides specialized entities with defined missions that focus on research activity related educational/instructional programs and/or public service governed by administrators, faculty, and staff of the University.

3. PURPOSE

The purpose of this Graduate Council document is to facilitate and implement an institutional directive to allow the Council to have clear processes in place for CIBs in accordance with University Policy 6-001 (III) and Board of Regents Policy R401-5.4.2 and 5.4.3. The document is intended to provide specific rules and guidance for the establishment, governance, oversight, review, reauthorization, and discontinuation of all institutionally sanctioned CIBs at the University of Utah.

4. DEFINITIONS

Centers, Institutes, and Bureaus (CIBs) are specialized administrative units; groups concentrated to work on a specialized activity, pursuit, or interest; or organizations established within the University to promote and pursue collectively a technical or professional field of work, research, study/training, acquisition of external funds, and/or outreach to community, businesses, or external audiences (as per Regents' policy 5.4.3). In the "Purpose" section of the R-401 proposal, the CIB must define its research, educational/instructional, and/or public service mission. The definition of a center, institute, or bureau should reflect the unique characteristics of that unit. There is no standardized definition. CIBs do not have responsibility for, nor authority over, academic curricula or faculty and should not compete with or duplicate the work of departments. The only exceptions to this rule are some older CIBs (e.g. Hinckley Institute) whose name was established before the curriculum rule was adopted.

University policy 6-001 III-1-e on CIBs offering curriculum:

These CIB types of units are ordinarily not authorized as course-offering units, and ordinarily they participate in course activities only through an arrangement in which a course with which the unit has some association is formally offered through and administered by an academic department (or other authorized course-offering unit). Such a CIB unit may only gain authorization to directly offer credit-bearing courses by obtaining status as an approved interdisciplinary academic program of the type described in Part III-A-1 of Policy 6-001, which includes obtaining approval as a course-offering unit through the process described in this document.

If curriculum is offered through a CIB, as in the case of an interdisciplinary program or other situation that has been approved, a curriculum committee or other body made up of faculty with appointments in regular academic departments must be in place to approve and assess the curricular offerings on a regular basis.

The choice of type of CIB emerges from the judgment of primary function and disciplinary norms made by the organizers and/or donor(s). However, institutes are usually larger units with a research focus.

5. CATEGORIES OF CIBs

CIBs have missions that could fall under multiple categories; each category may be subject to different types/cycles of review and may follow different approval processes. Most CIBs require R401 approval; some do not.

5.1 CIBs NOT REQUIRING R401 APPROVAL

Certain categories of CIBs (listed below) do not require the R401 approval process but are subject to other approval processes, including approval by the SVPAA or SVPHS.

- **Public Service Center** – Public service as primary mission. Does not conduct research or offer credit-bearing courses.
- **University Resource Center** – Provides University-wide resources for faculty and/or students. This category of CIB requires approval directly from the cognizant Sr. Vice President and is governed by Student Affairs.
- **Intra-department/School/College Resource Center** - Provides services, such as facilitating mission-based activities, for the unit only. Requires initial approval by cognizant dean and chair, with faculty consultation.
- **Service Re-Charge Center** – Primary purpose is to provide specialized services to the university community (although services may be provided on an incidental basis to external users). All HSC core facilities are service re-charge centers; however, not all service re-charge centers are core facilities. Centers in this category must seek approval through Financial and Business Services.

<http://fbs.admin.utah.edu/download/mgt/SRCPolicy.pdf>

5.2 CIBs REQUIRING FULL INSTITUTIONAL APPROVAL AND BOARD OF REGENTS' NOTIFICATION (abbreviated R401 proposal template)

All CIBs except those in the categories listed above require institutional approval via the abbreviated R401 template. The University of Utah, Board of Trustees, and State Board of Regents require the **R401** abbreviated template <http://curriculum.utah.edu/degrees/abbrev-template.php> for the approval and provisional approval of new CIBs.

5.2.1 FORMAL CIB RECOMMENDATION / APPROVAL

The full CIB approval process is required to establish a proposed CIB on a permanent basis. A CIB established under full institutional approval will remain a CIB until a formal discontinuance proposal is filed and approved by the Institutional process. The R401 abbreviated template is required.

The approval of new CIBs will follow University procedures for the establishment of new administrative units (University Policy 6-001 and Board of Regents' Policy R401-5.4.2 and/or 5.4.3).

The first step in establishing a University of Utah center, institute or bureau is submission of a **Letter of Intent (LOI) to Establish a University of Utah Center, Institute, or Bureau** from a dean, department chair, faculty member or other official. The LOI, along with all additional required documentation (see below), should be submitted to the Sr. Vice President's designee. This step is the gateway to proceed with the formal approval process to establish a CIB. Link to: LOI form used for Formal Approvals: <http://gradschool.utah.edu/wp-content/uploads/2013/04/letter-of-intent.pdf>

The LOI should include, but is not limited to, a description of the following items:

- Classification/type of CIB (research, educational, service or other)
- Mission statement
- Description of the CIB's organizational structure (e.g. departmental, inter-department, cross-college, external partners, etc.)
- Funding sources and sustainability plan

The LOI to the cognizant Sr. Vice President (SVP) must be signed by all individuals who will be primarily associated with the CIB, as well as by others within the University who will be substantially impacted by its work (e.g. faculty/staff members, department chairs, academic deans, Vice President for Research (VPR) and/or other administrators.

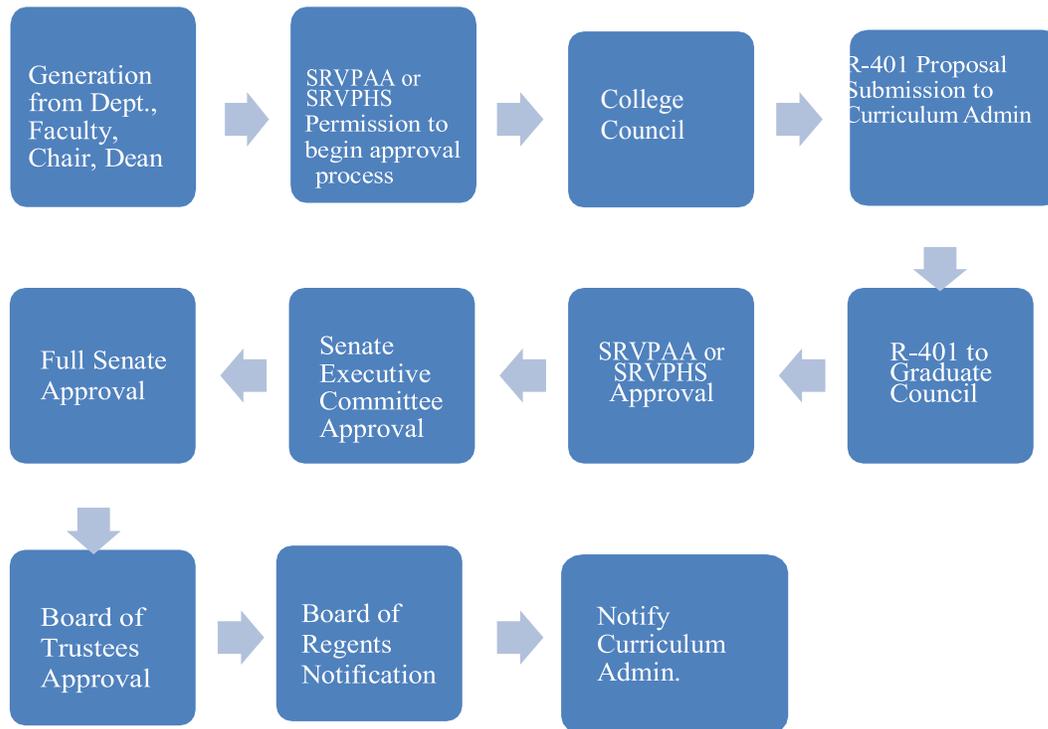
The cognizant SVP will provide a brief written assessment of the request and either grant or deny permission to pursue formal approval. With permission, the applicant(s) may then proceed with sending an R401 proposal using the R401 abbreviated template found at: <http://curriculum.utah.edu/degrees/abbrev-template.php>

In addition to the completed R401, the following information must be provided to the Curriculum Administration Coordinator at curriculum@utah.edu:

- The mission, vision, and goals for the new CIB must be defined in a statement explaining why the proposed unit requires a charter outside of an existing academic department. The mission statement should communicate the primary objectives of the CIB defining the measures of the unit's success. The vision statement should communicate to those associated with the CIB professional and ethical behavior as expected by the University. For the public, the mission/vision should instill confidence in the CIB's usefulness.
- Letters of support and explanation from parties with primary involvement in the CIB, as well as from associated parties (units and/or administrators who might be impacted by the formation of the CIB in terms of resource allocations)

- A record of the faculty consultation process followed at the departmental or multi-departmental levels. Similar to the LOI, the CIB application must provide written evidence demonstrating that faculty are aware of the proposed activity and have been given the opportunity to contribute suggestions, comments, and/or concerns.
- CIB bylaws (see Bylaw Document link below) for the CIB, ratified by initial membership with a record of the process followed in that ratification.
- Verification of support from the relevant college councils, including documentation of meeting dates and vote counts.

Please note that any publicity or marketing done by a CIB, including the creation of websites, must follow University guidelines for branding and accessibility. Visit <http://www.umc.utah.edu> for specific requirements. The FORMAL CIB RECOMMENDATION/APPROVAL PROCESS DIAGRAM is below:



Note that the CIB is established by the Board of Trustees vote, and the CIB can begin operations on that date. The Board of Regents notification is an information item only; it must be submitted on a timely basis, but the notification requirement does not delay the commencement of CIB operations.

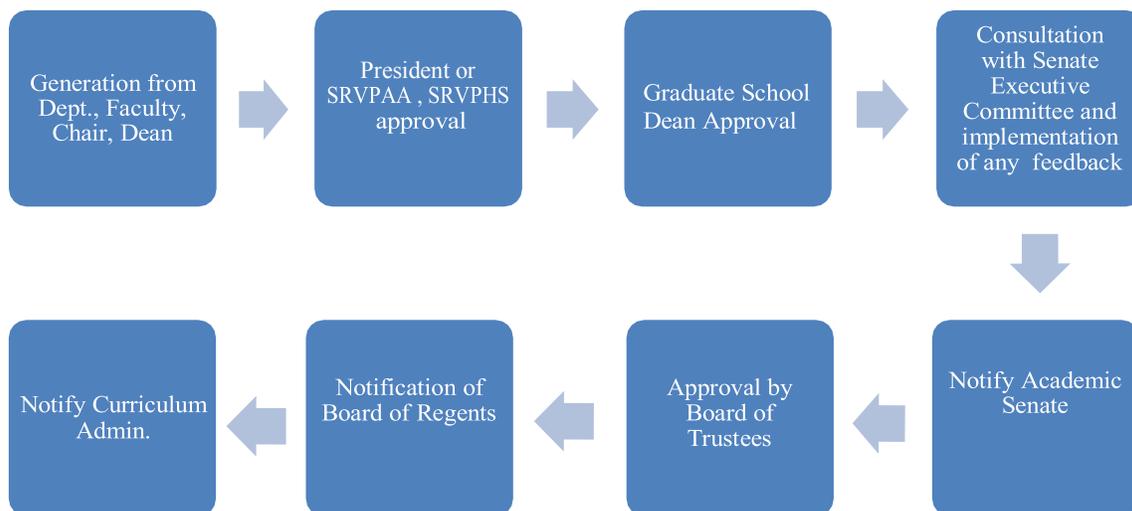
5.2.2 PROVISIONAL CIB (PROBATIONARY) RECOMMENDATION/APPROVAL

It is possible to approve a provisional CIB for three years, after which the CIB will cease to exist, unless a full institutional CIB proposal is submitted and approved.

A proposal for a provisional CIB is appropriate when there is a time-sensitive issue, such as a donor request or other legitimate urgency. In these cases, it may be appropriate to submit a proposal for a provisional CIB. Critical issues such as time urgency will be explained in writing, including documentation detailing the nature of the urgency. The documentation

will be reviewed by appropriate administrator (President, SVPAA, or SVPHS).

The proposal for a provisional CIB is filed using the abbreviated R401 template: <https://curriculum.utah.edu/centers/index.php>. The PROVISIONAL CIB RECOMMENDATION/APPROVAL PROCESS DIAGRAM is below:



Note that the CIB is established by the Board of Trustees vote, and the CIB can begin operations on that date. The Board of Regents notification is an information item only; it must be submitted on a timely basis, but the notification requirement does not delay the commencement of CIB operations.

5.2.2.1 APPROVAL PROCESS FOR A PROVISIONAL CIB TO BECOME PERMANENT

This process follows the same path as the full approval process of a new CIB, except that the LOI (<http://gradschool.utah.edu/wp-content/uploads/2013/04/letter-of-intent.pdf>) will describe the original scope of the CIB and will document any changes in the CIB’s mission, funding, organization, scope, or other major considerations.

Similarly, the CIB approval application for promotion of the provisional CIB to full CIB should include a summary of accomplishments and funding of the CIB during its provisional phase. A CIB that does not submit a CIB approval application for promotion to permanent (full approval) status by the end of their third year will be automatically discontinued.

5.2.3 CONSEQUENCES FOR NOT GAINING APPROVAL

Units that have received neither full nor provisional approval through the Board of Regents Policy R401-5.4.2 or 5.4.3 via the processes laid out in this guidance document may not use “The University of Utah” in their title nor can they claim their CIB is approved. In cases where provisional approval has expired, the Graduate Council and CIB Review Coordinator will recommend to the cognizant Sr. Vice President that the provisional CIB be discontinued; institutional funding will be discontinued.

6. OVERSIGHT AND REPORTING PROCEDURES

All CIBs are required to report annually, or more frequently when warranted, to the academic dean or groups of deans who approved the original application, the Dean of the Graduate School (via the CIB Review Coordinator), and to the cognizant Senior Vice

President regarding governance, activities, budget, and resources.

Department chairs who have faculty or curriculum that are impacted by any CIB should be copied on the annual report.

To ensure academic integrity, a structure of governance and oversight through which direct decision making regarding the planning of academic activities is in the hands of a body of faculty members is required. Specific academic activities should then be conducted under close observation by appropriately qualified faculty members. Reporting on curricular oversight, assessment, and changes should be included in annual review reports.

CIBs whose primary function is research development, or technology transfer and which are not affiliated with an academic unit will report to the Vice President for Research (VPR). All others will report through the cognizant dean to either the Sr. Vice President for Academic Affairs or the Sr. Vice President for Health Sciences as appropriate. Vice presidents maintain their appropriate governance and oversight responsibility and review the regular review documents submitted through the Graduate School. Review Report forms can be found at <https://centers.utah.edu/wp-content/uploads/2015/11/Annual-CIB-Report-Fillable-Form.pdf>.

The administrator or other official responsible for preparing annual review reports is required to be designated in CIB proposals for new units.

7. REVIEW AND REAUTHORIZATION PROTOCOLS

All CIBs under the jurisdiction of the Graduate Council (those requiring R401 full or provisional approval) will submit annual review reports to the CIB Review Coordinator in The Graduate School. The review reports will be overseen by the Graduate Council and conducted by the Graduate School, with appropriate participation by the Vice President for Research. The Office of the Vice President for Research conducts additional annual budget reviews of all CIBs receiving Facilities & Administrative (F&A) funding.

A format, approved by the Graduate Council, and a regular cycle of review for each CIB have been established. Existing CIBs with a history of successful operation and management and clear lines of fiscal authority and responsibility may use annual reports prepared as part of their regular reporting responsibilities for the purposes of the review report.

The review reports will be checked for completeness by the CIB review coordinator. If any review report requests further review, it will be taken to the Graduate Council for discussion and appropriate action will be determined. The Dean of the Graduate School, with the support of the Graduate Council, has the authority to recommend to the cognizant Sr. Vice President the discontinuation of any CIB that remains out of compliance with the review/reauthorization cycle or whose review uncovers problems of a serious nature.

8. PROCEDURE FOR EXEMPTION

To avoid the duplication of review efforts, a CIB may submit a request to the Graduate Council to submit reports/reviews/audits that have been prepared by other agencies or entities having the responsibility to require such reviews, in lieu of separate Graduate Council CIB Reviews. Annual reports will be required from all CIB units regardless of the

source of other required review reports and the Review Committee retains the right to solicit additional information not included in the separate reviews if it is deemed necessary.

9. ANNUAL REVIEW PROCESS AND CRITERIA

- An annual review report must be generated and delivered to the Graduate School and external advisory board of the CIB (if applicable) and made available to all members of the CIB. It will describe current membership of the unit; summary of financial status; accomplishments of previous year; goals for the next year.
<https://centers.utah.edu/wp-content/uploads/2015/11/Annual-CIB-Report-Fillable-Form.pdf>
- Summary information from administrative financial officers who have been designated by the President, cognizant Vice President, or VP of Research must be included as part of the annual review report materials provided to the Dean of the Graduate School and CIB Review Coordinator.
- The CIB should have at least one in-person meeting of its general members per year to discuss CIB business and progress. At that meeting the annual report should be presented. Time must be allotted for open discussion and questions. Such a meeting is to be documented in the annual review report.
- The external advisory board, if applicable, should meet at least once a year to discuss the annual report. Feedback from the external board is to be provided to the CIB and the Graduate School in the annual review report.
- The Graduate School may trigger a formal review of a CIB if areas of concern emerge following an annual review report, or if an annual review report is not filed.

FAILURE TO COMPLY or otherwise satisfactorily meet the requirements of an annual review may result in a recommendation to the cognizant Sr. Vice President for a reorganization, name change, or discontinuation of the CIB.

10. CHANGES TO EXISTING CENTERS

- **Renaming:** Proposals to rename centers may be initiated at the level of the center or the college. Endorsements by key personnel are required. The R401 Abbreviated Form (link below) should be used to initiate this process and be submitted to Curriculum Administration. Renaming proposals must go through the full approval process to effect a change in the official CIB name.
- **Reorganizing:** Proposals to reorganize or restructure CIBs (e.g., combining or splitting units, or creating an umbrella structure) should be initiated at the level of the CIB or the college. Endorsements by key personnel are required. The R401 Abbreviated Form (link below) should be used to initiate this process and be submitted to Curriculum Administration. If the reorganization will create an entirely new CIB unit, it must be approved using the process outlined above for creating new units.
- **Discontinuing:** In cases where a CIB's faculty support wanes, finances fail, or its mission is concluded, the unit should be officially discontinued. The mechanism for discontinuing a CIB is via a recommendation from the Graduate Council to the cognizant Sr. Vice President. However, proposals to discontinue a CIB should generally be initiated by its primary administrative affiliate, and be submitted using the R-401 Abbreviated Form (link below).

Link to: R401 Abbreviated Template Form used for Formal Approvals and all Changes (including re-naming, restructuring, and discontinuing) to Formally Approved CIBs

11. RESPONSIBILITIES OF OFFICES / INDIVIDUALS INVOLVED IN PROCESS

- **Sr. Vice President for Academic Affairs or Sr. Vice President for Health Sciences**
 - Informs Sr. Vice Presidents, who are the gatekeepers for the creation of new academic units on the campus about important initiatives, funding implications, and possible duplication
- **College Council Approval** (if applicable)
 - Insures transparency and initial support for the creation of a CIB by constituents in the college(s)
- **Applications(R-401 abbreviated form) and Required Accompanying Documentation**
 - Complies with institutional, Board of Trustees' and Board of Regents' requirements
- **Dean of the Graduate School**
 - Insures that the proposed CIB does not duplicate the work of other University units
 - Insures that the proposed CIB provides a service or focuses on activity needed by or beneficial to the University
 - Insures that faculty and all other constituents impacted by the formation of the CIB are aware of the proposed activity and were able to contribute suggestions or express concerns through a transparent process.
 - Provides comments
 - Requests additional support documentation as deemed necessary
 - Check for 5 elements of a viable CIB (see below)
- **Executive Committee of the Senate**
 - Insures, to the best of its ability, smooth passage of the proposal in subsequent levels of review/approval
- **Academic Senate**
 - Provides full disclosure and the opportunity for vetting by senators
- **Board of Trustees**
 - Provides notification and approval if there are no concerns
- **Board of Regents**
 - Receives notification of CIB approval as an information item according to Regents Policy

12. GRADUATE DEAN'S FIVE ELEMENTS OF A VIABLE CIB

1. The CIB must have a well-defined mission, and its resources must be appropriate for fulfilling this mission. The CIB mission should align with the University mission.
2. A CIB cannot offer any transcriptable courses, degree or certificate programs. These are the sole responsibility of the departments and colleges, or interdisciplinary programs housed within a College, Department, or the Graduate School.
3. The CIB should have one or more shared resources that are being made available to a group of people who would normally not have access to this resource. This includes people in multiple departments, Colleges, across the University, or in the larger regional community. A CIB must include a mechanism for allowing relevant University community members to participate in the activities of the CIB.
4. Decisions made about allocation of resources in fulfillment of the CIB mission are made by a process governed by faculty members who are formal members of the CIB.
5. The CIB must have a viable financial model, and must also have a viable exit strategy should the anticipated resources become unavailable.