

Proposition: 07-22/23

Proposal Type: Bill Resolution Memorial Joint Proposition

Title: Revised ARP11.01 Part 1: Research Funding and Research Institutes and Centers

Date Submitted:

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Proposed Committee: Curriculum & Programming

Prior Approvals: None

Proposal: We propose that ARP 11.01 Part 1 be modified as follows:

PART 1: RESEARCH FUNDING AND RESEARCH INSTITUTES

A. **State University Research Fund:** The State University Research Fund is the designated university fund where indirect (facilities and administrative) cost recovery earned by the university is deposited. Funds to support academic research from the State University Research Fund are relatively scarce and must be used in a variety of ways (e.g., to support research, to stimulate new research, to support public service, and to support scholarly endeavors as well as the necessary administration). In general, it is desirable to keep the administrative costs at a minimum and, therefore, make available to the faculty as much support as possible for nonrecurring research expenses. It is the underlying philosophy to use this research support in a flexible manner in keeping with college and department priorities. Encouragement is given to the faculty to secure outside support for research, at the same time recognizing that it is important to provide some support to scholarly pursuits which may not attract outside funding.

B. **University Research Institutes:**

~~1. University Research Institutes are units that primarily perform externally funded research. They are formed by the vice president for research in consultation with the provost and senior vice president for academic affairs. Generally, these units will report to the vice president for research; at the time of creating the institute, the reporting line for the unit must be determined by the provost and senior vice president for academic affairs and the vice president for research~~

~~2. University Research Institutes may be created by the university in anticipation of outside funding. They revert to college status or cease to exist if external funding does not materialize. A University Research Institute may receive some support from the State University Research Fund. Except for the Physical Science Laboratory and the Water Resources Research Institute, University Research~~

~~Institutes do not directly retain a percentage of indirect cost recovery resulting from their activity.~~

~~3. Upon the recommendation of the vice president for research with concurrence of the provost and senior vice president for academic affairs, a University Research Institute may revert to College Research Institute status, be reorganized, or be dissolved, and the following list modified accordingly. University Research Institutes, all of which currently report to the vice president for research, are listed below.~~

- ~~a. Energy Research Laboratory~~
- ~~b. Institute for Applied Biosciences~~
- ~~c. New Mexico Space Grant Consortium~~
- ~~d. Physical Science Laboratory~~
- ~~e. Water Resources Research Institute~~

For purposes of this policy, a research Institute or Center (hereafter, "Institute") is an organized research unit at New Mexico State University that typically has a Director (or interim director), typically has a budget, typically has one or more administrative personnel whose salaries are paid from the Institute's budget, typically has an interdisciplinary research scope that directly involves faculty across multiple academic departments, typically has a research scope that is large enough to directly involve at least five different faculty members in its research program, and has a written organized research plan and mission statement to operate as an Institute. In cases of a short-term temporary vacancy in one or more these elements, the Institute must typically intend for this vacancy to be filled in a timely manner.

- 1. Each University and College Research Institute shall be registered with the Vice-President of Research's office within six months of operation, whether the Vice-President of Research's office has oversight on the Research Institute or not. No Research Institute shall duplicate or compete with the existing Research Institutes or Academic Programs at any New Mexico State University campus.*
- 2. Each University and College Research Institute shall have a defined mission (reason of existence), which relates to the mission and strategic goals of New Mexico State University.*
- 3. Each University and College Research Institute shall have a defined set of specific, measurable, attainable, relevant, and time-bound (S.M.A.R.T.) goals and objectives mutually agreed upon by the Research Institute's Responsible Administrator(s) (e.g., Institute Director) and the Overseeing Administrator (e.g., College Dean, Vice-President of Research, Provost). These goals and objectives shall align with the Research Institute's mission.*
- 4. Each University and College Research Institute shall have defined performance metrics, data sources, and methods used to generate these metrics to evaluate its progress*

toward its goals and objectives. These performance metrics shall be mutually agreed upon by the Research Institute's Responsible Administrator(s) (e.g., Institute Director) and the Overseeing Administrator (e.g., College Dean, Vice-President of Research, Provost).

5. *Each University and College Research Institute shall have a clearly defined Sunset clause that includes circumstances that might lead to sunseting the Research Institute and a process for sunseting. The Sunset clause shall be mutually agreed upon by the Research Institute's Responsible Administrator(s) (e.g., Institute Director) and the Overseeing Administrator (e.g., College Dean, Vice-President of Research, Provost). Sunseting the Research Institute may occur if (1) there is a sustained and prolonged (encompassing multiple consecutive evaluation periods) loss of funding or loss of key faculty / personnel that makes it infeasible for the Institute to successfully continue operations, (2) progress towards the research Institute's goals is not satisfactory over a sustained or prolonged period, or (3) the mission of the research Institute's no longer relevant to the University or College.*
6. *Each research Institute that already exists at the time this ARP is first adopted by the University shall have a one-year grace period starting from the date this ARP is first adopted by the University to complete the registration with the Vice-President of Research's Office, including a document describing the Institute's defined mission, strategic goals related to NMSU, (S.M.A.R.T.) goals and objectives, performance metrics, and Sunset clause. These components must meet the requirements described in the above paragraphs.*
7. *The Responsible Administrator for the Institute shall be chosen according to the Institute's written policies and may be changed in accordance with those written policies. The Overseeing Administrator(s) shall be chosen by mutual agreement between the Vice President for Research and the Provost, and may be changed by mutual agreement between the Vice President for Research and Provost. A written notice of any change in the Responsible Administrator or Overseeing Administrator must be provided in written form within seven business days to the Vice President of Research, the Provost, the Institute Director (or interim director), the Institute's Responsible Administrator, and the Institute's Overseeing Administrator. If the Responsible Administrator is changed, both the incoming and outgoing Responsible Administrator must be included in this written notification. If the Overseeing Administrator is changed, both the incoming and outgoing Overseeing Administrator must be included in this written notification.*
8. *The Responsible Administrator of the Research Institute shall submit an evaluation report of its activities and achievements to the respective Overseeing Administrator at the mutually agreed time periods (e.g., annual, biennial, etc.) which shall be no less frequently than every three years. This report shall include the following:*
 - a. *A list of current Research Institute faculty and personnel*
 - b. *A summary of the budget, activities, and achievements related to the Research Institute's mission for the evaluation period.*
 - c. *Proposed goals, objectives, and plans for the next evaluation period.*

9. *Following the review of the Evaluation Report, the Overseeing Administrator shall recommend either:*
- a. *Continuation of the Research Institute. The mission, proposed goals, and objectives may be modified and mutually agreed upon by the Responsible and Overseeing Administrator.*
 - b. *Consolidation of the Research Institute with existing Research Institutes with similar missions, goals, and objectives.*
 - c. *Sunsetting of the Research Institute according to the Sunset Clause developed for the Institute.*
 - d. *Any final action shall be agreed upon mutually between the Overseeing and Responsible Administrators. If there is a conflict between two parties, the conflict shall be resolved by the Vice President for Research, Creativity, and Strategic Initiatives, except the Provost shall resolve the conflict in cases where the Vice President for Research is the Institute's Overseeing Administrator or Responsible Administrator.*

~~C. **College Research Institutes:** College Research Institutes are research units formed at the discretion of a college, reporting to the college as the dean directs, and relying on the college for support. College Research Institutes do not directly retain a percentage of any indirect cost recovery resulting from their activity.~~

Rationale: The current ARP 11.01 Part 1 is outdated, vague, and does not provide policy to adequately guide the formation, evaluation, and sunsetting of Research Centers and Institutes at NMSU. The new proposed language provides clear guidance, yet remains flexible enough to deal with future unanticipated scenarios.