

98-10

October 26, 1998

POLICY ON UNITS ORGANIZED TO PROMOTE RESEARCH, SERVICE, AND INSTRUCTION

(This policy supersedes PS 92-03 and PS 97-06.)

This policy was recommended by the Academic Senate on October 8, 1998 and approved by the President on October 15, 1998.

A. GOALS

Special units organized to conduct research, perform community service, or provide instruction and special training make a significant contribution to the mission of the University. The Policy on Units Organized to Promote Research, Service, and Instruction has been established in order to facilitate the formation of such units, and to provide for the evaluation and continuation of these units.

B. INTRODUCTION

Special units may be established by the faculty and staff of the University, appropriate to its mission, for the purpose of the conduct of research, the performance of community service, and the promotion of instruction. A special unit initiated by an external agency for any of the purposes detailed under Section C below, and using any resources or the name of the University, is also established and governed by this policy statement.

A given research, instruction or service unit may be established to carry out activities with more than one focus (e.g. research and training, instruction and community service).

C. TYPES OF UNITS

1. Research Units

A research unit may be established when faculty members, usually from more than one department, engage in focused study in a specific area or genre of problems of an interdisciplinary nature.

2. Community-service Units

A community-service unit may be established when faculty and staff provide service in a designated specialty for members of the general public.

3. Instructional Units

An instructional unit may be established when highly focused curricula and training-related matters are addressed to audiences not usually served by or eligible for matriculation in regular academic programs.

4. Multi-function Units

A unit may be established which is a combination of research and instructional activities; thus the designation may differ from the above units.

D. ESTABLISHMENT OF A UNIT

Since establishment of a unit reflects one of many prevailing decisions on the use of University resources, and external resources in the name of the University, establishment requires that a proposal shall be subject to the following review.

Note that units in existence at the inception of this policy are not required to go through the establishment procedure; however, they are subject to the other provisions of the document.

1. Establishment Proposal

The written proposal requesting establishment of a unit shall include the following items and substantiating documentation:

- a. Purpose of the unit.
- b. Need for the unit.
- c. Nature and scope of activities to be performed.
- d. Personnel resources: Provide the source, status, and qualifications for:
 1. Unit Director:
 2. Unit Members:
 3. Advisory Board:
- e. Fiscal resources:
 1. Source
 2. Duration
 3. Budget: annual with three-year projection
- f. Other resources:
 1. Space requirements
 2. Equipment requirements
- g. Long Range Commitments: (if any)
- h. Review Plan:
 1. Indicators of success
- i. Disclosures:
- j. Period of Authorization:
A unit may be authorized for an initial period of from one to three years.

2. Establishment Review

Establishment of a unit shall be effected through the following review:

- a. Presentation of a satisfactory proposal to the School or College Dean or the appropriate University Administrator.
- b. Approval by the School or College Dean or the appropriate University Administrator, in consultation with the School/College Council.
- c. Approval by the Provost, in consultation with the Executive Committee of the Academic Senate and with the Council of Deans. The Provost shall issue a letter establishing the unit.

E. UNIT ORGANIZATION AND OPERATIONS

1. Administration of the Unit

- a. Director

A unit will operate or function under the responsibility of a Director as approved in the Establishment Proposal.

The Unit Director will report to the Dean of the School/College or the appropriate University Administrator designated in the document establishing the unit or as subsequently changed by the Provost.

b. Advisory Board

Each unit shall establish an advisory board as part of the Establishment Proposal. The Director shall convene this board at least once a year to review the annual report of the unit. Minutes of these meetings shall be attached to the Annual Report.

c. Unit Membership

Membership in a unit shall be defined in the Establishment Proposal and shall conform to specifications required by the funding agencies. Units shall not discriminate in membership or participation on the basis of race, sex, religion, national origin, age, sexual preference, or disability. Instructional faculty involved in the activities of a unit shall consult with their Department Chairs prior to scheduling any activities in a unit which carry workload credit.

2. Accounting

Funds from all grants and contracts sponsoring research, development, demonstration projects, community service, instruction, training, etc., from any external source shall be housed in the CSULB Foundation or in the University Business Office. No private accounts of funds used in the operations of a unit will be permitted. Any exception to this provision for a unit established by an external agency must be approved by the Vice President for Administration and Finance.

The CSULB Foundation, and the University Business Office if appropriate, shall provide monthly and annual reports on utilization of unit funds. These reports shall provide required financial documentation for annual and continuation reports.

3. University Policies

Units are required to comply with all applicable University Policies in carrying out the functions of the unit. In addition, units shall also comply with the policies of the granting agency. Questions concerning policy should be directed to the Office of University Research.

F. NAME CHANGE OF EXISTING UNIT

1. If a unit's basic policies are unaltered, and if there is no objection at any level of review (faculty, faculty council, Academic Senate Executive Committee or Council of Deans), a name change can be initiated by a memorandum from the Unit Director to the relevant administrator/dean, detailing consultation with faculty/faculty council(s), etc., and including copies of all relevant documentation. The administrator/dean would then forward the Director's memorandum and its support documentation to the Provost with his/her endorsement. The Provost would forward all correspondence to the Council of Deans and the Academic Senate Chair attesting to the minor nature of the name change and the full consultation of the affected faculty and sponsoring college. If there is no objection, the name change would then be in effect.
2. If objections are raised at any level of review (faculty, faculty council, Academic Senate Executive Committee or Council of Deans), the provisions of paragraph D, Establishment of Unit, above shall apply.

G. UNIT REPORTING AND CONTINUATION

1. Unit Annual Review and Report

A unit Director will report the activities and financial condition of the unit annually by the last day of September through the Dean and the Advisory Board, to the Provost using the format provided in the "Unit Activities Report". A copy of the Annual Report will be sent to the Academic Senate Office, the University Archives, and the Office of University Research.

2. Continuation Review and Report

a. Review Period

A unit shall initially be authorized for a period of operation of from one to three years as approved in the Establishment Proposal. Any unit seeking continuation shall submit a Request for continuance at the beginning of the last year of the approved period of operations containing: all prior Annual Reports, activities of the unit in the present academic year, the reasons for continuation, and the number of years requested. This Request shall be submitted through the college dean to the Unit Continuation Review Committee. Upon review of the Request for Continuation, the Dean of the college shall recommend continuation or discontinuation to the Provost who, on the advice of the Review Committee, will provide written authorization for continuation or for discontinuation.

If a unit is granted continuation, the unit will be authorized for a period of operation of up to five years before another continuation review is required. However, a unit may be subject to discontinuation at any time on the request of the Provost.

b. Review Calendar

The Office of University Research shall maintain the unit review calendar and will notify units in September that are subject to review the following academic year.

c. Centers and Institutes (Unit) Review Committee

A Centers and Institutes (Unit) Review Committee shall be established each year to review all units up for reauthorization in that year. This committee shall consist of:

- (1) Faculty Member selected by the Executive Committee of the Academic Senate.
- (1) Academic Dean selected by the Provost.
- (1) Unit Director selected by the Unit Directors. A Unit Director is not eligible to serve in the year that her/his unit is being reviewed.

This committee shall review the reports submitted by units during that year, meet with unit Directors, and report the results of its reviews to the Provost.

d. Review Criteria

The Review Committee shall consider the following criteria in preparing its final report and recommendations.

- 1. Financial Independence Unit does not exceed approved General Fund Support.
- 2. Progress Towards Goals

Progress has been made on all goals and multiple objectives have been achieved as evidenced in the evaluation criteria of the establishment proposal.

- 3. Support of University Mission

Evidence shall be provided that demonstrates that the unit contributes to the mission of the University and contributes to the quality of other educational units on campus.

e. Timelines

Unit Activities Annual Reports shall be submitted to the Dean(s) by the last day of September each year.

Requests for Continuation shall be submitted to the Dean by the last day of September in the year of the third anniversary of operations of the unit. The College Dean shall forward the Continuation Report to the Unit Continuation Review Committee for review. The Review Committee shall complete all reviews by April and forward their recommendations to the Provost via the Dean.

"UNIT ACTIVITIES REPORT"

Type of Report:

TYPE:

PERIOD:

Annual:

Continuation:

Program Name:

Year Established:

Statement of Mission and Goals:

I. UNIT PERFORMANCE AND ACCOMPLISHMENTS

A. Performance

1) Goals and Objectives

2) Factors Affecting Unit Performance:

2.1) Campus Agencies and Environment

2.2) Outside Agencies and Environment

B. Accomplishments

1) Publications

2) Research

3) Contributions to the University

4) Other indicators of success

II. STUDENT AND FACULTY INVOLVEMENT

A. Faculty

B. Students

III. UNIT ACCOUNTING

(Category) (Source of Data)

A. Grants and Contracts Initiated (Office of Research)

1. Number

2. Dollar Amount

B. Accounts Closed (Foundation)

1. Number

2. Dollar Amount

C. Other External Funds (Foundation)

1. Dollars Received

2. Dollars Expended

D. Assigned Time Utilized (Dean's Office)

1. Total Units Utilized

E. Expenditures (Dean's Office)

1. Total Dollars Expended

F. Reimbursed Time (Dean's Office)

1. Total Dollars Expended

2. Total Number of Units

G. Returned Indirect Cost (Dean's Office)

1. Total Dollars

H. Space Utilized (Dean and Office of Research)

1. Square Feet Utilized

IV. REPORTS AND RECOMMENDATIONS OF REVIEW COMMITTEES

Advisory Board:

Continuation Review Board:

EFFECTIVE: Spring 1999

APPROVAL ROUTING SHEET

UNITS ORGANIZED TO PROMOTE RESEARCH, SERVICE, AND INSTRUCTION

TYPE OF PROPOSAL _____ **DATE** _____

1. Research Unit _____ Community Service Unit _____ Multi Function Unit _____

2. Preliminary _____ Final _____

If preliminary, state reasons:

Funding Approved: _____ Anticipated date for final submission: _____

Name of Unit Proposed _____

Location of Unit Proposed _____

Submitted By:

Department _____ College _____ Contact Person _____

Recommended By:

Faculty Council: Yes _____ No _____ Date of Recommendation _____

Faculty Council Chair Signature _____

Does the proposed Unit require additional support?			Can needs be met within your existing College budget?	
	YES	NO	YES	NO
Space				
Personnel				
Equipment				
Budget				
Other				

College Dean: Yes _____ No _____ Date of Recommendation _____

Dean's Signature _____

Executive Committee: Yes _____ No _____ Date of Recommendation _____

Academic Senate Chair Signature _____

Council of Deans: Yes _____ No _____ Date of Recommendation _____

Provost's Signature _____

Approved By:

Provost: Yes _____ No _____ Date of Approval _____

Provost's Signature _____