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3 **98-10**

4 October 26, 1998

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

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

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

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17 **A. GOALS**

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

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25 **B. INTRODUCTION**

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

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

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35 **C. TYPES OF UNITS**

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37 1. Research Units

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

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42 2. Community-service Units

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

45
46 3. Instructional Units

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

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51 4. Multi-function Units

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

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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.

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

111 b. Advisory Board

112
113 Each unit shall establish an advisory board as part of the Establishment Proposal. The
114 Director shall convene this board at least once a year to review the annual report of the
115 unit. Minutes of these meetings shall be attached to the Annual Report.

116
117 c. Unit Membership

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

124
125 2. Accounting

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

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

135
136 3. University Policies

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

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142 **F. NAME CHANGE OF EXISTING UNIT**

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

153 2. If objections are raised at any level of review (faculty, faculty council, Academic Senate
154 Executive Committee or Council of Deans), the provisions of paragraph D, Establishment of Unit,
155 above shall apply.

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157 **G. UNIT REPORTING AND CONTINUATION**

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159 1. Unit Annual Review and Report

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

165 2. Continuation Review and Report

166 a. Review Period

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

178
179 If a unit is granted continuation, the unit will be authorized for a period of operation of up
180 to five years before another continuation review is required. However, a unit may be
181 subject to discontinuation at any time on the request of the Provost.

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183 b. Review Calendar

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

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188 c. Centers and Institutes (Unit) Review Committee

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190 A Centers and Institutes (Unit) Review Committee shall be established each year to
191 review all units up for reauthorization in that year. This committee shall consist of:
192 (1) Faculty Member selected by the Executive Committee of the Academic Senate.
193 (1) Academic Dean selected by the Provost.
194 (1) Unit Director selected by the Unit Directors. A Unit Director is not eligible to
195 serve in the year that her/his unit is being reviewed.

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

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200 d. Review Criteria

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

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

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

- 208 3. Support of University Mission

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

211
212 e. Timelines

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

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

221 "UNIT ACTIVITIES REPORT"

222

223 Type of Report:

224 TYPE: PERIOD:

225 Annual:

226 Continuation:

227 Program Name:

228 Year Established:

229 Statement of Mission and Goals:

230 I. UNIT PERFORMANCE AND ACCOMPLISHMENTS

231 A. Performance

232 1) Goals and Objectives

233 2) Factors Affecting Unit Performance:

234 2.1) Campus Agencies and Environment

235 2.2) Outside Agencies and Environment

236 B. Accomplishments

237 1) Publications

238 2) Research

239 3) Contributions to the University

240 4) Other indicators of success

241 II. STUDENT AND FACULTY INVOLVEMENT

242 A. Faculty

243	B. Students
244	III. UNIT ACCOUNTING
245	(Category) (Source of Data)
246	A. Grants and Contracts Initiated (Office of Research)
247	1. Number
248	2. Dollar Amount
249	B. Accounts Closed (Foundation)
250	1. Number
251	2. Dollar Amount
252	C. Other External Funds (Foundation)
253	1. Dollars Received
254	2. Dollars Expended
255	D. Assigned Time Utilized (Dean's Office)
256	1. Total Units Utilized
257	E. Expenditures (Dean's Office)
258	1. Total Dollars Expended
259	F. Reimbursed Time (Dean's Office)
260	1. Total Dollars Expended
261	2. Total Number of Units
262	G. Returned Indirect Cost (Dean's Office)
263	1. Total Dollars
264	H. Space Utilized (Dean and Office of Research)
265	1. Square Feet Utilized
266	IV. REPORTS AND RECOMMENDATIONS OF REVIEW COMMITTEES
267	Advisory Board:
268	Continuation Review Board:

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EFFECTIVE: Spring 1999

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APPROVAL ROUTING SHEET

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UNITS ORGANIZED TO PROMOTE RESEARCH, SERVICE, AND INSTRUCTION

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TYPE OF PROPOSAL _____ **DATE** _____

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

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2. Preliminary _____ Final _____

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If preliminary, state reasons:

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Funding Approved: _____ Anticipated date for final submission: _____

283

Name of Unit Proposed _____

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Location of Unit Proposed _____

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Submitted By:

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Department _____ College _____ Contact Person _____

287

Recommended By:

288

Faculty Council: Yes _____ No _____ Date of Recommendation _____

289

Faculty Council Chair Signature _____

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

290

College Dean: Yes _____ No _____ Date of Recommendation _____

291

Dean's Signature _____

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Executive Committee: Yes _____ No _____ Date of Recommendation _____

293

Academic Senate Chair Signature _____

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

295

Provost's Signature _____

296 **Approved By:**

297 Provost: Yes _____ No _____ Date of Approval _____

298 Provost's Signature _____

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