**Guidelines**

# ORGANIZATION, ADMINISTRATION AND REVIEW OF CENTERS AND INSTITUE IN ACADEMIC AFFAIRS

**PURPOSE**

The purpose of this document is to provide procedures for the establishment and review of Centers and institutes at California State Polytechnic University at Pomona (Cal Poly Pomona).

**SCOPE**

Centers and Institutes at Cal Poly Pomona, exist to support teaching, scholarly and research activity, and service missions of the University. Center activities are focused on a narrow range of topics or issues; a Center may require the efforts of faculty from one or several departments, usually within a single school or college. Institutes enhance and support broad-based efforts and typically encompass activities at the level of multiple schools and/or colleges. The types of activities conducted by Centers and Institutes are important to the development of new initiatives, supporting teacher-scholar activities, to the partnering of students and faculty, and supporting inter-, multi- and cross-disciplinary collaborations at the university.

# DEFINITION

**Center**: Generally, an academic Center is created to establish, organize and set into motion a scholarly research or education program that exceeds the interests of a single individual, and department, discipline within a college or administrative unit. Administered by a “Director,” Centers serve as a catalyst, a place of concentrated activity, and a focus for interdisciplinary scholarly activity while reporting to the Dean of a college.

**Institutes**. Institutes are multi- and Cross-disciplinary collaborative efforts, revolving around a specific scholarly, research or education activity, whose participants involve more than one academic department, college, school or unit.

Administered by a Director, reporting to a Dean, Provost or the Associate Vice President. The Institute is focused on largely externally supported research and/or education activities specifically in a well-defined field of interest.

Note: These definitions and guidelines do not apply to administrative Centers, training Centers, or small agency or departmental research or teaching programs serving as the focal point of narrow disciplinary activity. (e.g. Testing Center, Learning Resource Center)

For this document, the terms Center and Institute will be treated equally from this point forward.

A Center/Institute may be created by any administrative unit; the greater the breadth of the support group, the greater the opportunity to succeed. Specifically, an academic

Center reports to administrative levels above its position within a Department, College or the Division of Academic Affairs. (A Special Purpose Center may be created under an existing Institute, but it must be approved in the same fashion as the parent Institute.)

The objective of these guidelines is to promote the orderly development of Center/Institute through a written guidelines, including the acknowledgment of responsibilities of individuals and administrative units in their operation and appropriate notification to other colleges and units about their function and operation.

**All Centers/Institutes must be self­supported operations.**

# FORMATION OF A CENTER/ INSTITUTE

A Center/Institute may be established by the development of a charter by interested faculty members and an administrator, to obtain ultimate approval by designated University administrative officers. The proposed charter/application should contain a development plan proposal for the Center or institute over a 5-year period including the following:

**Executive Summary:** One page executive summary describing the Center or institute’ s mission, goals and objectives, highlighting its strategic relevance to the college and the university, the faculty members involved as well as other participants, the effective date, space requirements, other required resources, budget needs and source(s) of funding, key milestones for success (with dates), and primary risks to the project’s success with mitigating strategies, plan for sustainability and/or an exit strategy.

**Project Plan:** Detailed project plan with an explanation of the strategic rationale, plan for fostering student involvement in research and scholarship, key personnel, organizational structure, director, advisory board composition and a description of their roles, faculty members’ roles and responsibilities, timeline for development, and supporting analyses that form the basis for the proposal. The strategic rationale must be tied directly to CPP’s Strategic Plan and clearly define the benefits that the Center/institute will provide to the University.

**Financial Analysis and Analysis of Extramural Funding:** Provide a financial plan, including budgeted expenses and sources of revenue. A concise evaluation of the opportunities for seeking and obtaining extramural funding including targeted funding programs and agencies, and other funding sources, a list of submitted and awarded grants and/or contracts.

**Risk Analysis:** A concise evaluation of the potential risks associated with the development and implementation of the Center/Institute must be discussed including areas such as cost risks (e.g. equipment acquisition, salaries, and laboratory operations) regulatory risks, environmental risks, legal risks, and governance issues.

**Success Criteria:** Explicitly define the criteria (metric and timing) that will indicate whether the Center/institute is achieving success.

**Sustainability and Exit Strategies:** Identify the plan for making the Center/Institute self-supporting and describe the key indicators that will be monitored as “triggers” for implementation of exit strategies. Discuss the implications of the proposed exit strategies (e.g. economic impact) that will be employed should they become necessary.

**Appendices:** Any necessary data or supporting documents relevant to the proposal may be included. Include documentation from the appropriate CPP officials that will confirm the commitment of any space and/or funding required by the Center/Institute.

1. Approval of new Center/Institute is based primarily on the value of the proposed unit to the mission and goals of the University. Criteria also include the need for the Center/Institute, the extent of the plans for including students in its activities, the amount of start-up funds and space required, and the likelihood of obtaining outside funding for support and sustainability within a reasonable period of time.
2. The Center/Institute must file an annual report. Annual report is based on the academic fiscal calendar and is due by June 30 of each year to the Office of Research, Innovation &Economic Development. It must include a financial statement. The Office of Research, Innovation and Economic Development will provide the template for the annual report.
3. Even though each Center/Institute is reviewed each year, a thorough review of performance, and need, will be conducted at the end of its fifth year.

# APPROVAL AND REVIEW PROCESS

The completed proposal must be circulated to the responsible administrative levels for approval. After faculty consultation, the process should include the Deans and the Provost’s Council, the Provost and Vice President for Academic Affairs and the President. Approval for a new Center/Institute does not imply or incur a financial obligation by the University to support the activity.

**REVIEW AND RENEWAL PROCESS**

***Annual Reports***

All Centers and institutes must submit an annual report by the end of the academic year (June 30) to the Associate Vice President for Research, Innovation & Economic Development using the template provided by the Associate Vice President. The report must give an account of activities performed, involvement of students in such activities, and contributions of the unit to the strategic plan of the University. The annual report should also include a financial summary showing expenditures of the Center and revenue for the past year and projections for expenditures and revenue to cover the costs in the following year. Filing annual report reflects an active status and financial sustainability of a Center and justifies continued existence. It is highly recommended that Centers and Institutes provide opportunities for sharing outcomes with the campus community through research symposia and seminars.

***Five-year Review Process***

Research Centers and Institutes are not viewed as permanent units and will be reviewed periodically by the Provost and Vice President for Academic Affairs or a designee to determine whether their continued existence is justified and in the best interest of the University. All Centers and Institutes are reviewed at the end of every five years and thereafter. An ad hoc review committee is appointed by the Provost and Vice President for Academic Affairs to assist in this effort; the committee will be chaired by the Associate Vice President for Research, Innovation and Economic Development or other designee appointed by the Provost and Vice President for Academic Affairs.

The review of a Center/Institute is based on an evaluation of the five-year report and the proposal that served as the basis for the Center/Institute creation. The ad hoc review committee shall establish a process to evaluate the material provided. The Associate Vice President for the Research, Innovation & Economic Development will provide a template for the five-year report to be completed by the Center director and approved by the Dean of the college. This report will then be forwarded to the Associate Vice President for Research, Innovation & Economic Development for the ad hoc committee review. The report of the ad hoc committee shall be forwarded to the Provost and Vice President for Academic Affairs, who will make recommendations to the President of the University. If the Center is considered to be achieving its mission, original goals and objectives, and is operationally and fiscally successful, the Center/Institute will be reapproved for another five-year cycle.

**CHARTER MODIFICATION**

The charter may be modified by submitting the appropriate changes for consideration by the same administrative levels that approved the Center/Institute. If approved, the Center/Institute continues operation under the modified charter.

**DISSOLUTION PROCESS**

If the five-year review, or accumulated annual reviews, indicate the Center/Institute has not achieved its Mission and Goals or is not financially supporting itself, then the Provost and Vice President for Academic Affairs with input from the Dean where the Center or the Institute resides, and the Associate Vice President for Research, Innovation & Economic Development may recommend to the President that the Center/Institute be terminated. Further, in the event that the operation of the Center/Institute should become contrary to the interests of the University, it may be terminated at any time by the President of the University after appropriate consultation.

**RESPONSIBILITIES OF THE DIRECTOR**

The “Director” has the responsibility to promote research and scholarship and educational activities, writes or engages other faculty in writing grant proposals or donor proposals to secure external funding, oversight of the operation and management of the Center/Institute, the proper handling of the Center funds, and the financial soundness of the Center/Institute. The Center/Institute director must approve all requisitions for expenditures with the oversight by the Dean or the next level supervisor if the center resides in another unit outside the college. Cosigners should be selected based on daily operational needs, and include the immediate administrator (Dean or Vice President) to whom the director reports. The director shall have flexibility to shift expenditures within a budget as long as it does not impact external regulations nor cause expenditures to exceed income.

All personnel matters are governed by University and Foundation policies, procedures and guidelines. Personnel utilization or change must be approved by the respective department Chair(s) or Dean(s).

The director is responsible for all space, physical arrangements, production of web site materials, brochures and descriptive materials, and other scholarly activity within the Center/Institute.