



California State University, Monterey Bay
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Policy on Centers and Institutes

1.00 Purpose

The purpose of this policy is to set out the criteria and protocol for the establishment, operation, and supervision of Centers and Institutes at California State University, Monterey Bay. This policy complies with Executive Order 751 from the Chancellor's Office.

This policy is intended to reflect the University's commitment to the principles, goals, and ideals described in the CSUMB Vision Statement and its core values.

1.10 Attribution

This policy is used by permission from Sonoma State University and adapted for use by CSU Monterey Bay.

2.00 Definitions

Centers and institutes¹ are units established to support and complement the academic and administrative programs of the University. Their activities must fall within the mission and vision of the University and of the academic or administrative unit with which they are associated.

Centers and institutes may perform certain functions ordinarily carried on by other academic and administrative units, such as organizing conferences and meetings, conducting research and public service activities, and managing training programs. Centers and institutes may not confer professional titles, have jurisdiction over courses or curricula, or offer formal courses for credit.

Centers and institutes typically generate their own funds from grants, contracts, private donations and gifts, and participant fees; it is expected that each center and institute will generate its own operating funds. Centers and institutes may anticipate an ongoing program of activity that extends beyond one or two grants of limited duration, and that has promise of diverse sources of support over an extended period of time.

As the names center and institute can be used interchangeably, for the remainder of this document, we will use the term center.

¹ Excluded from this policy are the Service Learning Institute; the Panetta Institute; The Center for Teaching, Learning, and Assessment; Child Care Center; Otter Cross Cultural Center; Center for Student Success; Small Business Development Center; Otter Cycle Center; Otter Sports Center; and the University Corporation Service Centers.

3.00 Establishment of Centers and Institutes

To establish a new center, a proposal is submitted by the chair or director to the dean or appropriate administrator of the relevant academic or administrative unit delineating the purpose, goals, and objectives of the proposed center.

3.10 Elements of the Proposal

The proposal shall contain an explanation as to why the stated goals and purposes cannot be achieved within the existing University structure. The proposal shall also include the following elements:

1. Statement of purpose
2. Administrative organization and structure
3. Proposed operating procedures
4. Associated faculty and staff
5. Nomination process and term of office for the director and advisory committee
6. Required technical, clerical, and student assistance
7. Space needs
8. Anticipated one-time start-up funds required, and identified source of funding
9. Anticipated operating budget
10. Source and amount of funding anticipated
11. Prospects for longer-term continuation of activities

Upon approval by the dean/appropriate administrator, the proposal is forwarded to the Provost and Vice President for Academic Affairs. The Provost, in consultation with the Senior Leadership Team, reviews the proposal and makes a recommendation to the President for final approval.

4.00 Administrative Responsibility

A center reports to the chair or director of the academic or administrative unit in which it is lodged. Deans/appropriate administrators are responsible for the activities of the centers under their jurisdiction. For centers that are grant-funded, the University Corporation at Monterey Bay (hereafter, the Corporation) shall assume all pre- and post-award administrative responsibilities related to the funding in conjunction with the Office of Grants and Contracts.

4.10 Director

Each center is headed by a director or coordinator, usually a tenured or tenure-track member of the faculty. The director/coordinator may receive assigned time for the administration and required reporting of the center. The proposal submitted to establish a center must clearly identify how the director/coordinator will be nominated, as well as the review and approval process for the selection and replacement of the director/coordinator. The nomination of a director/coordinator is submitted to the dean or appropriate administrator for recommendation, then to the Provost for

recommendation, and then to the President for final decision. A director/coordinator is appointed by the President to a three-year term of office.

4.20 Advisory Committee

Each center must have an advisory committee. The committee is advisory to the center and meets regularly, participating in the establishment of center goals and objectives, and monitoring of progress toward their achievement. The committee should include members from the CSUMB faculty and the University Corporation and may include some members from outside the University, as appropriate.

4.30 Office of Sponsored Programs

All proposals and awards for extramural funding are subject to the provisions contained in Executive Order 890 and the University Corporation *Policy on Approval and Submission of Proposals and Acceptance of Externally Funded Awards* (policy # 511-003) and must be fully approved by appropriate University officials through the Office of Sponsored Programs.

5.00 Financial Responsibility

As a general rule, all grants and contracts received by centers are administered by the Corporation, in accordance with Corporation, University, and system-wide policies as well as any sponsor regulations. An annual budget plan for each center must be developed in the context of budget development for the academic or administrative unit in which the center is lodged.

6.00 Annual Review and Report

The director/coordinator of each center must prepare an annual report of its activities of the previous year and plans for the year ahead. The annual report is submitted by June 1 of each year to the supervising Dean/appropriate administrator with copies to the Provost, the Associate Vice President for Academic Planning and Institutional Effectiveness, the Corporation, and the center's advisory committee. The report shall include information on the following:

1. Activities
2. Fiscal year financial report summarizing the nature, source, and amount of funding (including grants, gifts, and contracts received) and operating expenses
3. Faculty, staff, and student personnel
4. Organizational structure
5. Space used
6. Proposed budget for the upcoming year (revenue and expenditures), and identified source of funding
7. Connection to the University and impact of activities on the academic program(s) of the University
8. Community service
9. Plans for future activities
10. Problems to be addressed

The Dean/appropriate administrator reviews the annual report and comments on the performance, financial viability, and success of the center in meeting its stated goals and objectives. The annual report, with comments from the dean/appropriate administrator, is forwarded to the Provost by July 1.

The Provost reviews the annual report and submits to the President by July 15 a summary report on the state of all centers on campus. Copies of the Provost's summary report are forwarded to the Chair of the Academic Senate, the institute director/coordinator, the academic or administrative unit chair/director, and the Dean as an information item.

7.00 Termination of Centers and Institutes

Centers that do not submit an annual report will be automatically terminated.

Centers that have submitted annual reports may still be terminated. In these cases, recommendations for termination of centers must be made by the dean/appropriate administrator to the Provost, following consultation with the Advisory Committee and the director/coordinator of the institute, and must state the reasons why the center should be discontinued. The Provost makes a recommendation to the President for final decision.

8.00 Continuous Renewal

This policy shall be reviewed in ten years from its effective date to determine its effectiveness and appropriateness. This policy may be reviewed before that time as necessary.



Eduardo M. Ochoa, President

Effective Date: 3-19-14

Certification of Process:

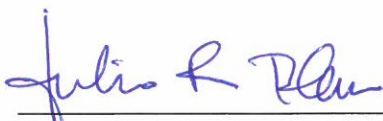
Reviewed by: Deans & Provost Group, Academic Affairs Council, Academic Senate Executive Council, Post-Graduate Studies and Research Committee, Educational Policy and Planning Committee, Senate, Enrollment Services and Student Affairs Leadership Team, Associated Students, University Corporation, Policy Facilitation Team, Provost.

Memorandum from Policy Facilitation Team

To: President Eduardo M. Ochoa
Date: March 18, 2014
Subject: Policy Recommendation
From: Interim Provost Julio Blanco
Policy: Centers and Institutes

The Provost, along with the Policy Facilitation Team, recommends that the *Policy on Centers and Institutes* be approved.

This Policy was amended to exclude centers and institutes from the program review process.



Provost Julio Blanco

3-18-14

Date