

June 8, 1992

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

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 (henceforth "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:

- 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.

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. UNIT REPORTING AND CONTINUATION

1. Unit Annual Review and Report

A unit Director will report the activities and financial condition of the unit annually 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 available in the Academic Senate Office and the University Archives.

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. Upon review of annual reports and a special third year "continuation report" the Dean of the school or 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. Review Committee

A 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) Dean's Council Member selected by the Provost.
- (1) Unit Director selected by the Unit Directors as a whole.

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

Continuation Reports 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 School/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.

REPORT FORMAT

"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. O & 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: Immediately