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1.16	CSCU ESTABLISHMENT OF CENTERS AND INSTITUTES	BR 20-012 (RESCINDS 17-136)	2020-02-06

CSCU ESTABLISHMENT OF CENTERS AND INSTITUTES POLICY

Policy Statement

The purpose of this Policy is to define CSCU Centers/Institutes and present Guidelines that provide common requirements for their establishment, evaluation, and continuation or discontinuation. CSCU Centers and Institutes are non-degree granting academic entities engaged in research, instruction, or clinical or other services. The BOR policy covers academic centers and requires initial approval of a center/institute and a review every seven years. These requirements ensure financial sustainability and that the mission is being achieved.

Other institutional entities such as a Student Center, Health Center, Women's Center, Career Center and Teaching Center provide pertinent services and/or support to students, staff and/or faculty, and typically do not require board approval.

Definitions -

Center: a formally organized, scholarly unit with self-sustaining, substantial source(s) of funding having either an instructional or research focus that tackles challenging and critical issues, in alignment with System and institutional missions.

Institute: a formally organized, scholarly unit with self-sustaining, substantial source(s) of funding with a focus upon clinical, community or public service – addressing a singular, compelling societal problem or need, in alignment with System and institutional missions.

Features –

The Board of Regents (BOR) requires Centers/Institutes to advance achievement of one or more of the System's Five Goals, which are:

GOAL 1. A SUCCESSFUL FIRST YEAR
GOAL 2: STUDENT SUCCESS
GOAL 3: AFFORDABILITY AND SUSTAINABILITY
GOAL 4: INNOVATION AND ECONOMIC GROWTH
GOAL 5: EQUITY

Additionally, BOR encourages Centers/Institutes:
- to afford research, service and/or experiential learning opportunities to CSCU students
- to be inter-institutional and/or interdisciplinary collaborations
- to develop marketable products and services, and to facilitate their movement into the marketplace
- to implement formalized linkages between its academic community and the professional and/or service community of focus in its region or service area
- to publish journal articles, make conference presentations, host forums and otherwise publicize research results and studies of services rendered

Policy Guidelines

Establishing a Center/Institute

Faculty, administrators and professional staff member at CSCU institutions and the System Office may submit proposals to establish a CSCU Center or Institute. After approval through an institution's established internal process, proposals are to be submitted to the System's Academic Council – the chief academic officers of CSCU institutions convened by the System Provost and Senior Vice President of Academic and Student Affairs. Prior to submission, the proposal must be formally endorsed by the institution's or System Office's chief academic officer who will make the initial presentation to the Academic Council.

 In determining a proposal's merits, the Academic Council shall review the following proposal components:

1. *Need* – (a) define the need (a gap between the actual state of affairs and the desired state) for the proposed center or institute, and (b) state the manner (action plan) in which the proposed entity would address the described need. **NOTE:** Both the need and the action plan must be substantiated by reputable research.

2. *Goals and Objectives* – state the goals (broad statements of desired results) and objectives (specific, measurable steps to achieve the stated goal) of the proposed center or institute. State the relationship of the goals and objectives to the institution's mission and how the proposed entity would add value to the institution. If the goals and objective include impacting upon and/or actively involving the institution's students and/or some other audience; state explicitly what that impact and/or involvement would be. **NOTE:** The goals and objectives will serve as the foundation for the proposed entity's evaluation plan.

3. *Administration, Faculty and Staff* – present the administrative structure of the proposed entity and its departmental affiliation(s); and the identification of faculty and staff to be initially involved in the operations of the proposed center or institute, and discuss their expertise, roles and responsibilities.

4. *Budget and Sustainability* – exhibit and explain an estimated, itemized budget for the first year of operation, including space and equipment, projections to cover expenditures in each additional year of the initial four-year provisional period, and the identification of funding sources, a majority of which must be either self-sustaining and/or external to the institution.

5. *Evaluation Plan* – delineate a formal plan to: (a) monitor the implementation of activities to achieve the stated goals and objectives, (b) ascertain the extent to which the goals and objectives are actually achieved, and (c) use the results for program improvement and decision-making; during the initial four-year provisional period.

The proposal components should be outlined initially in a concept paper (no more than five pages) and subsequently elaborated upon in a full proposal, if the Academic Council endorses the concept. The full proposal should include a strategic plan that specifically aligns the proposed entity's goals and objectives with the major elements of its action plans and expenditures. In considering the full proposal, the Academic Council may elect to invite the proposal's principal investigator(s) to address any questions and concerns it may have. Additionally, as an element of its collective, deliberative process regarding the viability of the proposed Center or Institute; members of the Academic Council may study relevant issues and consult administrators, faculty, staff and/or students/alumni of their respective CSCU institution.

NOTE: Templates for the Concept Paper and Full Proposal to Establish a CSCU Center/Institute shall be developed by the Office of the System Provost.

If the Academic Council votes to endorse the proposal, it shall be forwarded by the Office of the System Provost via a Staff Report to the BOR's Academic and Student Affairs Committee (ASA) for its consideration The Staff Report shall contain an analysis regarding the proposal's merits and a recommendation concerning the Center's/Institute's initiation. The endorsing chief academic officer and principal investigator(s) shall present the proposal to the ASA and respond to any questions and concerns. If the ASA approves the establishment of the proposed Center/Institute, the proposal will be forwarded to the BOR for its consideration as a consent item. Upon BOR consent, the proposed Center/ Institute shall be authorized to be established for a four-year provisional period.

Center/Institute Evaluation

By September 1st, in the fourth year of a newly established Center/Institute, its director shall submit an Interim Progress Report to the System Provost, detailing its progress to date. The criteria for this self-study shall be the same as that of the proposal components, highlighting the Center's/Institute's accomplishments. If applicable, the accomplishments should detail the impact upon and/or involvement of the institution's students and/or some other intended audience. The Interim Progress Report shall also include a three-year accounting of revenue and expenditures. The Interim Progress Report shall be summarized through a Staff Report prepared by staff of the System Provost and forwarded to the ASA for its consideration. The Staff Report shall contain a recommendation from the Office of the Provost regarding acceptance or rejection of the report. The institution's chief academic officer and director will present the Interim Progress Report to the ASA and respond to any questions and concerns. If the ASA accepts the Interim Progress Report, its recommendation of provisional status of the Center/Institute will be removed and continuation will be authorized for a full seven-year period. Such recommendation will be forwarded to the BOR for its consideration as a consent item.

All Centers/Institutes shall go out of existence on December 31st seven years after authorization, unless action to the contrary is taken by the Board of Regents.

By September 1st, in the seventh year of a CSCU Center/Institute established under these guidelines, its director shall submit a Sunset Report for Continuation or Discontinuation to the institution's chief executive officer and chief academic officer, recommending continuation or discontinuation. In forwarding the Sunset Report to the System Office, the chief executive officer makes a recommendation regarding the continuation or discontinuation with comments and the chief academic officer verifies the contents of the report with comments. The format of the Sunset Report shall be similar to that of the Interim Progress Report. The Sunset Report shall be summarized through a Staff Report by staff of the System Provost and forwarded to the ASA for its consideration. The Staff Report shall contain a recommendation from the Office of the Provost regarding acceptance or rejection of the report. The chief academic officer and director will present the Sunset Report to the ASA and respond to any questions and concerns. The ASA may elect to direct the Office of the System Provost to conduct an additional assessment, including a formal site visit, of the Center/Institute or to arrange for such an assessment by a third party, external to the System; and to consider this assessment prior to making its decision. If the ASA accepts the Sunset Report, its recommendation that the Center/Institute be continued for another seven-year period or discontinued as of the following December 31st will be forwarded to the BOR for its consideration as a consent item.

After the initial seven year review, the review process for continued Centers shall be repeated every seven years.

NOTES: (1) Any reports to and reviews from an external funder should be appended to the applicable Interim Progress Report or Sunset Report. (2) Templates for the Interim Progress Report and the Sunset Report for Continuation or Discontinuation of a CSCU Center/Institute shall be developed by the Office of the System Provost.

Continuation or Discontinuation of Center/Institute

In its analysis of a CSCU Center's/Institute's Interim Progress Report and Sunset Report, the Office of the System Provost shall contrast the report with the proposal for establishment, or previous Sunset Report, if applicable, and:

- assess whether or not the Center/Institute meets a compelling need and appropriately addresses that need with appropriate and effectual activities

- assess the Center's/Institute's success in meeting its goals and objectives

- make a determination as to the adequacy of personnel and their commitment and contribution to the Center's/Institute's progression

- make a determination as to the adequacy of fiscal resources and their efficacy of their use

- make a determination as to the thoroughness, effectiveness and credibility of the Center's/Institute's evaluation plan

It is recommended that informal monitoring visits and interviews with Center/Institute staff members and oversight administrators be conducted over the course of the year preceding the due dates for Interim Progress Reports and Sunset Reports.

The recommendation to continue or discontinue an established Center/Institute is essentially an internal decision. While some other administrator might be assigned oversight of a CSCU Center/Institute, the chief executive officer and the chief academic officer of the initiating entity are ultimately responsible for Center's/Institute's operations. CSCU institutions, the lead institution for inter-institutional collaborations and the System Office are encouraged to construct their own annual reporting requirements and formats for Centers/Institutes, as well as other on-going monitoring procedures and mechanisms to remedy deficiencies and implement improvements. It will be important to the System Office's analysis of Interim Progress and Sunset reports, and subsequently to decision-making by the ASA that the comments of the chief executive and chief academic officers site these supervisory instruments in presenting the rationale for their recommendations.

NOTE: The initiating entity's chief academic officer will be required to verify all reports submitted by a Center/Institute to the System Office.

Revised:

ASA – 01-24-2020
BOR - 02/06/2020