



Centers, Institutes and Similar Entities

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Policy Initiator:	Dean of Extension Services
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Approved:	President Thomas A. Cropper
Approval Signature:	/s/

Purpose:

The California State University [Coded Memorandum AA-2014-18](#) establishes guidelines for campuses and auxiliaries to develop and maintain policies and procedures related to the oversight and reporting of all Campus Centers and Institutes (hereinafter referred to as Centers). In accordance with that Memorandum, California State University Maritime Academy (Cal Maritime) has developed the following guidelines for the proposing, reporting, review, and closure of Centers.

Scope:

Cal Maritime is responsible for ensuring that all campus Centers comply with Chancellor's Office Coded Memorandum. Centers are formally approved interdisciplinary and/or collaborative units within Cal Maritime. Centers may serve any or all of the following purposes:

- A. Provide opportunities for professional development of faculty and staff through teaching, research, scholarly and creative activities, and public service.
- B. Foster and facilitate interdisciplinary efforts among disciplines, departments, and across colleges.
- C. Provide for and coordinate research-related and other public service programs;
- D. Enhance and expand the conduct of faculty research and scholarship;
- E. Enhance the University's ability to obtain external funding in support of its mission.

Accountability:

Coded Memorandum AA-2014-18 delegates to the campus president the responsibility for approval and oversight of Centers. This authority may be delegated.

Policy:

This policy establishes the framework for development and oversight of Centers at or affiliated with Cal Maritime.

A. Types of Centers at Cal Maritime

The two primary types of centers at Cal Maritime are: Research Centers and Academic/Student Program Centers. Regardless of type, all Centers are expected to rely primarily on external sources for funding, are housed within one or more Schools or Divisions, report directly to one or more vice presidents or deans, and are approved based on their potential and continued contributions to the mission of their home unit and the University, as well as to the principles outlined above. At the vice president or dean's discretion, Centers may coordinate their activity with and through a department chair. However, responsibility remains with the vice president or dean to work closely with the Center Director to ensure continued alignment of Center activities and funding with overall University and unit goals and resources.

1. Academic/Student Program Centers, which typically do not involve research, are more internally focused and campus-based. Academic/Student Program Centers typically operate with less than \$50,000 per year in external funding. Draft proposals for Academic/Student Program Centers should be reviewed by the appropriate dean or vice president for recommendation to the Dean of Sponsored Programs and Extended Learning for review and comment prior to the formal submission of the recommendation to the Provost who then recommends the Center to the President for approval.
2. Research Centers are typically externally focused and usually involve research, service and/or outreach activities. Research Centers typically receive greater than \$100,000 in sponsored funding per year for three consecutive years once fully operational. Primarily due to their complexity, visibility, and receipt of substantial external funding, Research Centers are more explicitly covered by the requirements stipulated in Coded Memorandum AA-2014-18 and, therefore, the additional requirements apply to Research Centers only as indicated below.

B. Proposing a Research Center

Research Centers typically are proposed by unit personnel (most often faculty members, sometimes a service unit director) to their unit supervisor (most often a dean, sometimes a vice president), who determines whether to forward the proposal to the Provost. A draft of the proposal should be sent to the Dean of Sponsored Programs and Extended Learning for review and comment prior to the formal submission of the recommendation to the Provost. The approval of a Center is predicated upon the identification of compelling need(s) to be addressed through the Center's activities, in a manner that is more effective than current practice or structure allows. The Director of a Center must be approved by the dean or vice president.

C. Development of a Center Proposal

A proposal to initiate a Center shall contain, at a minimum:

1. A compelling rationale for the establishment of the Center, with a clearly stated set of objectives, planned activities, and outcomes;
2. Indication of a clear relationship to the mission of the School, Division and/or the University;
3. A clear administrative structure and reporting line to the designated dean(s) and vice president(s);
4. An established and approved plan for the development of financial support, including the anticipated sources of external funding.

D. Development Period

All Centers, both Academic/Student Program and Research, are initially established for a developmental period not to exceed three years, at which time a comprehensive review is undertaken to examine performance and consider the potential future and direction of the Center.

E. Annual Report of Center Activities

The President is charged with overseeing Centers, with such oversight conducted through appropriate unit supervisors (e.g., school administrators, division vice presidents) and the Office of Sponsored Programs. All Centers report directly to a unit supervisor (usually a dean or vice president), who therefore serves functionally as supervisor for the Center Director in his/her Center capacity. Unit supervisors are responsible for working closely with Center Directors to ensure continued alignment of Center activities and funding with overall unit goals and resources. The Director is subject to all relevant unit and university policies and procedures and his/her performance is considered as part of the annual report of the Center.

By September 15th each year, the Director shall provide to the unit supervisor for review and comment a 3-5 page summary of the Center's activities and accomplishments, primary expenditures, and issues of concern over the previous calendar year, along with plans for the next calendar year. The unit supervisor and Director are encouraged to make available a copy of the annual review to the department, school, and interested parties outside of the school.

A copy of the annual report must be sent by September 30th to the Provost, for inclusion in the official record and submission to the CSU Chancellor's Office for the required annual report.

F. Comprehensive Five-Year Reviews of all Centers

In addition to annual reports from the Center to the unit supervisor, comprehensive reviews of Centers are required every five years by a formal review team whose members are selected by the unit supervisor, in consultation with the Provost, who is responsible for maintaining the official schedule of review timelines.

Review teams may consist of campus administrators, faculty, staff, students, alumni, advisory board members or community members as appropriate. The chair of the team shall be selected by the unit supervisor, and the comprehensive review team shall produce a final report (5-7 pages plus attachments) that addresses at a minimum the following:

1. The activities of the Center since the last review;
2. The successes and failures of the Center in meeting the goals of the last five-year plan;
3. The criteria by which the Center is to be evaluated over the next five years vis-a-vis a proposed plan for the next five years;
4. How the Center expended its resources and any concerns over such expenditures, current or anticipated;

The draft report may be reviewed with the Director and others as appropriate, and should include specific recommendations for action by appropriate campus entities, including a recommendation to the appropriate unit supervisor and the Provost for continuation or closure of the Center.

A copy of the comprehensive review must be sent within 30 days of final report to the Provost.

G. Closure of a Center

Occasionally, the continued operation of a Center may not be sustainable due to changes in funding, institutional priorities, retirements, departures, faculty interest, or other factors. Proceedings to close a Center may be initiated by the unit supervisor or the Provost, in consultation with the President. Closure actions may be based on a determination of a lack of or inappropriate activity, reduced or non-existent external funding, or structural changes within affected departments, schools, or other university units.

All personnel, operational and fiscal matters associated with the closure of a Center must be approached with careful attention to integrity, liability, and the University's reputation. Any outstanding fiscal matters are the responsibility of the supervisor of the unit to which the Center reports.

H. Additional notes:

1. Centers are identified in all formal correspondence (including grant and contracts) as "California State University Maritime Academy* [Center name]."
2. Centers that receive federal or state funds will be subject to additional compliance policies and reporting as required by federal and state regulations, the campus administration, and by the Office of Sponsored Programs.
3. Until a Center is approved, employees or entities of the University or its auxiliaries may not represent themselves, in electronic, written or verbal form, as representing an approved Center.
4. Templates for proposing a Center, as well as templates for annual or five-year reports, may be obtained from the Dean of Sponsored Programs and Extended Learning.

***As noted in the Preamble, Centers is used throughout this document to reference Centers, Institutes or Similar Entities. The most appropriate term for the entity would be inserted here. The University's style guide with reference to University names and indicia is to be followed as well.**

I. Related Documents

[CSU Coded Memorandum AA-2014-18](#)