

Procedures on Creation, Oversight, and Review of Academic Centers and Institutes

This document describes the procedures associated with the creation, oversight, and review of Academic Centers or Institutes (ACI) at California State University, Sacramento as required by "Campus Policy on the Creation, Oversight, and Review of University Centers and Institutes". The procedures are guided by Coded Memorandum AA-2014-18 and other CSU policies. These procedures will be updated as needed to ensure compliance with all appropriate policies.

Not all "centers" that exist on campus are subject to the oversight defined by Coded Memorandum AA-2014-18. Centers of an administrative (e.g. Career Center, Center for Teaching and Learning, computer centers) or service nature (e.g. Veteran's Center, Daycare Center) are not subject to the procedures defined here (although they still are subject to other policies and procedures). Administrative or Service Centers (ASC) housed within the University or University Enterprises, Inc. (UEI) that wish to use the word "Center" or other word in their name that could invite confusion with this policy will be required to request permission to use said name. Using a cover sheet provided by ORIED, the Appropriate Administrator for the requesting unit will obtain permission from the Provost to identify as a Center. Centers housed under other campus auxiliaries are not subject to this review. The Provost will make the final determination if a unit is an ACI or an ASC. A list of entities approved as ASCs will be kept on record at ORIED.

ACI Creation

ACIs will be established in cooperation between the Sponsor and University Administration. The Sponsor will be responsible for preparing the Creation Petition, including all the required supporting documents and other materials, as described in this section.

Since the establishment of an ACI has a direct impact on University resources, the Sponsor must consult with appropriate chairs, directors, and deans early in the planning process. The written proposal requesting the establishment of an ACI must include:

- ACI Name, Mission, and Goals
- Oversight Structure (i.e. Proposed Director, Appropriate Administrator, and Advisory Committee, if applicable)
- Organization Document such as bylaws (including role of Advisory Committee, if present)
- Statement addressing value added by proposed ACI and impacts on existing programs/units
- Proposed Nature and Scope of Activities
- Operational Needs and Costs (Personnel, Space, Equipment, Supplies, Other)
- Operational Resources (Sources and Amounts (actual and in-kind)) including documentation for verification
- Certification of adherence to University, CSU, State, and other requirements

The Appropriate Administrator must ensure that the proposed ACI has a strong likelihood of financial soundness prior to recommending its approval. Additional information may be requested by the Appropriate Administrator or Provost prior to approval. Additional information may also be required due to changes in system-wide oversight requirements. The Creation Petition cover sheet and the submission instructions can be obtained from ORIED.

After receiving the Creation Petition, the AVP for ORIED will send it to Financial Services/UEI to identify potential areas of concern regarding cash handling, tax implications, or other items that may require additional training for the Director. The Appropriate Administrator is ultimately responsible for the oversight of the operations and finances of an ACI, although preliminary oversight may be delegated to an Associate Dean or other appropriate MPP. If a Center Director steps down from the position, the Appropriate Administrator will assume operational management until a replacement Center Director is designated and appropriately approved.

Advisory Committees are not required by campus policy but given the scope of activities within a specific ACI, may be required by the Appropriate Administrator and/or Provost as a condition of approval.

Organization and Operation of an ACI

While Academic Centers and Institutes may perform certain functions ordinarily carried on by other university units, they may not offer for-credit instruction or degrees. Activities of an ACI will vary based on its nature, but can include:

1. Providing opportunities for professional development of faculty and staff through teaching, research, scholarly and creative activity, and public service.
2. Fostering and facilitating interdisciplinary efforts among disciplines, departments, and across colleges.
3. Providing a clearinghouse for information of interest to professionals, and conducting workshops and conferences for continuing education.
4. Enhancing the curriculum by facilitating and supplementing the academic experience of students.
5. Other approved activities or functions as described in its organization document.

An ACI will operate under the responsibility of a Center Director, who reports to the Appropriate Administrator (or designee). Where ACIs activities span multiple units, administrators are encouraged to work collaboratively, but the Appropriate Administrator identified in the Creation Petition (or as updated by a Memorandum of Understanding) assumes the ultimate responsibility for the ACI.

Funds that support the operations and activities of an ACI must be deposited into appropriate accounts within the University or UEI accounting systems. Appropriate fiscal accounts will be created that are consistent with the source of funding. Center Directors, working with their account administrators, must ensure that all appropriate financial policies (including University, CSU, State, Federal, and others) are being properly followed. Examples of issues that can come up include: adherence to account specifications, cash handling, public user fees, Unrelated Business Income Tax (UBIT), and others. The Appropriate Administrator has full oversight of the ACI's financial activities, which includes financial responsibility for any debt incurred by ACIs. Center Directors are responsible for submitting requested financial data in their Annual Reports and Comprehensive Reviews. University or UEI account administrators will assist Center Directors with providing data for Annual Reports and Comprehensive Reviews, but analysis is the responsibility of the Center Director. University or UEI account administrators must immediately notify the AVP for ORIED about any financial irregularities in ACI accounts.

ACIs are required to comply with all applicable University policies in carrying out their activities and functions. ACIs receiving external funds must also comply with the policies of the granting source/agency.

If an ACI has an Advisory Committee, it must meet at least once per year to review the ACI's activities and finances. The designated head of the Advisory Committee must submit a report to the Appropriate Administrator as defined in the ACI's organization document. Any costs associated with the Advisory Committee must be borne by the ACI.

Updates to the Center Director, Appropriate Administrator, or other organizational details that fall outside of the normal reports and reviews should be submitted to ORIED via a memorandum signed by the Appropriate Administrator and the Center Director. ORIED will review the proposed changes and forward to Provost for approval, if necessary.

ACI Oversight

Annual Reports

All ACIs are required to submit an Annual Report summarizing their activities and finances to their Appropriate Administrator. The report will cover the previous fiscal year (July 1 – June 30) and is due to the Appropriate Administrator by September 15. A reminder will be sent to the Center Directors and Appropriate Administrators by August 1. The report must include the following information:

- Brief summary of previous year's activities
- Changes to aim, mission, or scope of ACI

- Names of faculty members and staff involved in ACI's activities
- Estimated number of students (undergraduate and graduate) directly involved in the ACI's work and their roles
- Funds/Accounts under the ACI's purview and purpose
- Sources of income (actual and in-kind support)
- Expenditures
- List of tangible scholarly achievements
- Grants and contracts submitted and secured
- Goals for next year
- Advisory Committee Annual Report, if applicable

Additional information may be requested by the Appropriate Administrator or Provost. Additional information may also be required due to changes in system-wide oversight requirements. A cover sheet and Annual Report submission instructions can be obtained from ORIED. Other annual reports that may be produced by an ACI for communicating with their stakeholders shall not be submitted in lieu of this university-required Annual Report.

The Appropriate Administrator will receive the report and provide written feedback to the Center Director about the ACI's alignment to goals, plans, and finances. The report will be forwarded, with the feedback, to the AVP for ORIED by October 15. The Annual Report will be reviewed by the AVP for ORIED and a comprehensive report of all ACI operations will be prepared for the Provost. If the Annual Report reflects any significant changes in revenues or expenses, the AVP for ORIED will send the report to Financial Services/UEI to identify potential areas of concern regarding cash handling, cost recovery, public user fees, tax implication, or other items that may require follow up with the Director. ORIED is responsible for archiving ACI Annual Reports. Failure to submit an Annual Report may lead to putting the ACI on probationary status. In years that a regularly scheduled Comprehensive Review is scheduled for an ACI, the Annual Report will be submitted along with the additional information required by the review.

Annual Reports may be used by ACIs to provide updates about the Center Director, Appropriate Administrator, or other operational details.

Comprehensive Review

Comprehensive Reviews will be used to determine if the ACI is meeting its goals, maintaining its financial stability, and contributing to the mission of the University. From this, a formal recommendation to the Provost will be made for continued operation or dissolution of the ACI. The Comprehensive Review also provides ACIs the opportunity to update their goals and mission for the future. The schedule for the Comprehensive Reviews will be maintained by ORIED based on the following guidelines:

- No less than every five years
- Within three years of creation of a new ACI
- Within two years of an ACI being put into probationary or suspended status

Regularly scheduled Comprehensive Review reports will be due in the fall semester, on a date provided by the AVP for ORIED to the Center Director by July 31. An off-schedule review may be requested at any time by the Provost after consultation with the Appropriate Administrator and/or AVP for ORIED. An ACI subject to an off-schedule review will be given at least two months to prepare their report. The report must contain the information required for the Annual Review in addition to the following information:

- A narrative explaining how activities since ACI's creation (or most recent Comprehensive Review) have demonstrated that the goals of the ACI are being met
- Statement describing the ACI's alignment with University Mission
- Goals for the next five years
- Financial sustainability plan for the next five years

- Changes to organizational structure
- Response to any specific requests by Appropriate Administrator or ORIED

The Comprehensive Review cover sheet and instructions can be obtained from ORIED. In the case of an off-schedule review, if an Annual Report has already been submitted within the past 12 months, resubmission will not be required unless specifically requested.

After receiving the Comprehensive Review, the AVP for ORIED will send it to Financial Services/UEI to identify potential areas of concern regarding cash handling, cost recovery, public user fees, tax implications, or other items that may require additional training for the Director.

The Comprehensive Review report, along with copies of all Annual Reports generated since last Comprehensive Review, will be submitted directly to ORIED. A committee of the Appropriate Administrator, AVP for ORIED (or designee), and a faculty member selected jointly by the Center Director and the AVP for ORIED will evaluate the ACI. The review will include a thorough review of the documents provided and an interview with the Center Director. During the review, any materials requested by the review committee will be provided in a timely fashion by the Center Director. The review committee will meet with the Center Director prior to finalizing an evaluation. This meeting will allow the committee to provide useful feedback to the ACI and clarify any issues prior to publishing its final evaluation. Based on the evaluation, the committee will make a formal recommendation to the Provost for 1) reauthorization, 2) probation, 3) suspension, or 4) dissolution of the ACI. Failure to submit a Comprehensive Review may lead to the immediate suspension of an ACI.

Probation

An ACI may be placed on probation if an ACI fails to submit an Annual Report or if there is insufficient information within the Comprehensive Review to verify that it is operating within the policies and procedures of the University and CSU System, or within the goals set by the ACI in its Creation Petition or previous Comprehensive Review. While on probation, the ACI must continue to submit Annual Reports and is eligible to enter into contracts and agreements as a fully authorized ACI. Probationary ACIs will be given a time frame of no more than two years to submit a Comprehensive Review for reauthorization of the center. If a Comprehensive Review is not received by ORIED within the provided time frame, it will be recommended to the Provost that the probationary ACI be dissolved. The Center Director will have the opportunity to meet with the AVP for ORIED and the Provost before a final decision is made by the Provost.

Suspension

An ACI may be suspended for failure to demonstrate that it is fulfilling its mission and goals, or that it is operating within the policies and procedures of the University and CSU System (including financial solvency). It may also be suspended at the written request of the Center Director and Appropriate Administrator or for failing to submit a required Comprehensive Review. During a period of suspension, the ACI can only enter into new contracts or agreements with the written approval of the Provost or designee. A suspended ACI will not be required to submit scheduled Annual Reports but will have no more than two years to submit a Comprehensive Review (including any missing Annual Report data) for reauthorization. The time frame will be developed by the AVP for ORIED in consultation with the Center Director and Appropriate Administrator. If a satisfactory Comprehensive Review is not completed (or received) within the required timeframe, it will be recommended to the Provost that the suspended ACI be dissolved. Only the Provost may extend the length of suspension when there is reason to believe that additional time will ensure the ACI's success. The Center Director will have the opportunity to meet with the AVP for ORIED and the Provost before a final decision is made by the Provost.

Dissolution

Occasionally, the continued operation of ACIs may not be sustainable due to changes in funding, institutional priorities, retirements, departures, faculty interest, or other factors. Recommendation for the dissolution of an ACI can come at

the request of the Center Director and Appropriate Administrator, or as the result of either the proceedings of a Comprehensive Review, or a probationary and/or suspended ACI's failure to submit a Comprehensive Review. All personnel, operational, and fiscal matters associated with the closure of an ACI must be approached with careful attention to integrity, liability, and the University's reputation. Any outstanding fiscal matters and outstanding operational items become the responsibility of the Appropriate Administrator or their designee.

Roster of ACIs

A current list of ACIs will be maintained by ORIED. This list will also contain the dates of the most recently completed and next scheduled Comprehensive Reviews and contact information for the Center Director. This list will be available on the ORIED website and will be provided to the Chancellor's Office as requested. A roster of Administrative or Service Centers (ASC) housed within the University will also be maintained by ORIED and will be available upon request.

Branding and/or Representation

ACIs producing materials that contain University logos, trademarks, copyrights, or any other University branding must follow University branding and style guidelines. Information can be found at: <http://www.csus.edu/brand/>.

Existing Centers

ACIs in existence at the time of adoption of this policy will not be required to submit new Creation Petitions but will be subject to all other items within this document. A schedule for Comprehensive Reviews will be developed for these existing ACIs by the AVP for ORIED in consultation with the Appropriate Administrators. This schedule will be based on factors such as a) information derived from the most recent Annual Report on file, b) length of existence of the ACI, and c) distribution of the review workload over a five-year cycle.

Entities in existence already using the name Center or Institute at time of initial adoption of the "Campus Policy on the Creation, Oversight, and Review of University Centers and Institutes" will be given a period of six months to submit the materials requesting classification as an ASC; else they will be categorized as an ACI and subject to all ACI procedures.