RESOLUTION ON
GENERAL GUIDELINES FOR THE ESTABLISHMENT OF
RESEARCH, EDUCATIONAL, OR PUBLIC SERVICE UNITS

This bulletin gives guidance concerning the rationale and procedures for establishing institutes and centers. Such academic auxiliary units may be formed as organizational entities within the university if the teaching, research, or public services activities of the faculty members who participate will be improved.

This document governs those academic auxiliary units -- institutes and centers -- that are directed towards the enhancement of selected academic topics within the curriculum. It does not concern itself with the establishment or running of central administrative or service units such as the Computing Center, the Audio-Visual Center, or the Learning Assistance Center, which serve campus-wide functions and which also use the term "Center."

Rationale:

The main reason for establishing an institute or center is to bring into sharp focus the communication, planning, research, or other efforts of faculty and students interested in an area of study not normally focused by school or departmental organization. A center or an institute can enhance professional development opportunities for faculty, build links with industry and the community, provide identifiable campus entities for practitioners, foster interdisciplinary work, aid in obtaining external support, and complement the instructional program. An academic auxiliary unit will typically follow upon a trend of interest and professional activity already pursued by the proposed membership with some degree of success and will usually involve an important matter currently neglected or an area expected to grow in importance.

Institutes and centers are most often proposed when the normal committee structure does not adequately serve the ends desired. On occasion, a center or institute will be mandated by legislation, or Chancellor's office fiat. In such cases, a proposal for establishment must still be developed and forwarded for review and approval.
Definitions:

An institute is a unit which has more than one interest and/or function.

A center is a unit with one interest and/or function.

An institute may encompass a number of units or centers.

Functions:

The functions of an institute or center may be any, all of, or more than the following:

* to provide opportunities for the professional development of faculty through basic and applied research and development activities, through challenging consultancies either sponsored or unsponsored, and through faculty exchanges

* to provide a clearinghouse for information of interest to practitioners and to conduct workshops and conferences for the continuing education of professionals

* to enhance the curriculum by facilitating and supplementing academic learning

* to develop opportunities for students to practice their academic disciplines

* to provide supplementary educational support by acquiring gifts, general purpose grants, and equipment donations.

Procedures for Establishing a Unit:

The procedure to establish an auxiliary academic unit has two stages, a preliminary stage and a formal stage. To begin the process, a prospectus or preliminary draft of the proposal will be submitted via the appropriate school dean or deans to the Vice President for Academic Affairs for presentation to the Deans’ Council. The proposal will (1) outline the scope of the proposed unit, (2) describe its relationship to the mission of the institution, and (3) provide justification that the proposed unit better serves the needs outlined than the existing departmental, school, or university organization.

If conceptual approval to proceed is given by the Deans’ Council and Vice President, the initiators will prepare a formal proposal. This version will consider and answer, among other questions, the following:

* what will the proposed unit do? (research, public
This formal proposal will be sent to the Vice President for Academic Affairs who will appoint an ad hoc administrative review committee chaired by the Associate Vice President for Graduate Studies, Research and Faculty Development to aid in developing the full proposal. After being reviewed by the ad hoc committee, the proposal will then be sent to the Academic Senate for review and recommendations.

After review by the Academic Senate, the proposal (including the Academic Senate review) will be submitted by the committee to the Deans' Council. The deans will make a recommendation to the Vice President for Academic Affairs concerning the establishment of the unit and will recommend a maximum for university resource support.

The Vice President will make a determination concerning the technical merits of the proposal and the proposed unit's financial viability, including the identification of any
university resources essential to its operation. If the proposed unit is judged viable, the proposal will be forwarded to the President for action.

General Considerations:

Each unit shall be administered by a director reporting to a member of the Academic Administration. The director shall be nominated by the faculty members of the proposed unit, and approved by the school dean(s) involved and also by the Vice President for Academic Affairs.

The director shall submit an annual report following each academic year to the Vice President for Academic Affairs, appropriate dean(s), financial supporters, and the Associate Vice President for Graduate Studies, Research and Faculty Development. The report shall include a summary of:

* what was done
* who did it
* how it was financed
* future plans

Every five years or less, the Vice President will appoint a committee to review the unit and to recommend continuation, change, or dissolution.

Organized units may not offer courses on their own for credit nor confer degrees, but will do so only through regular academic units. Members of a unit do not have academic titles unless they have them by virtue of an appointment in a department.

Administration of finances of the unit, except for that portion from the State budget, will be handled by the Cal Poly Foundation, not by the unit. The director shall be responsible for the unit’s budget and for ensuring fiscal solvency.

Proposed by: Ad Hoc Committee to Review the Guidelines for Research, Educational or Public Service Units

Members: Raymond D. Terry (Chair)  
Art Dickerson  
George Hellyer  
Dianne Long

Proposed September 16, 1986  
Revised October 21, 1986
Memorandum

To: Lloyd Lamouria, Chair
   Academic Senate

From: Warren J. Baker
      President

Subject: CENTERS/INSTITUTES

This will respond to your memo of March 11 in which you inquired about the status of the proposed policy statement on Guidelines for the Establishment of Research, Educational or Public Service Units. As a review of this issue, you will recall that in the summer of 1986 I forwarded to the Academic Senate a draft of this document with the request that it be reviewed by the Academic Senate. At the same time, these guidelines were likewise being reviewed by other appropriate individuals and groups. The Academic Senate's reactions to this draft were embodied in the Academic Senate Resolution AS-231-86, which was forwarded on October 27. I have just completed review of a revised draft of this proposed policy which incorporates many of the suggestions recommended by the Academic Senate. The final draft is in the process of being prepared in final form for distribution as an administrative bulletin which will supersede the current Administrative Bulletin 72-9. It's my expectation that this administrative bulletin will be distributed in the very near future.
Date: October 27, 1986
To: Warren J. Baker, President
From: Lloyd H. Lamouria, Chair
Academic Senate
Subject: Proceedings of the Academic Senate October 21, 1986
Resolution on General Guidelines for the Establishment of Research, Educational, or Public Service Units (AS-231-86)

The above-referenced resolution was adopted by unanimous vote on October 21, 1986 and is herewith forwarded for your consideration and approval. This resolution sets forth the purpose for establishing institutes and centers within our schools and the procedures governing same.

As stated in the section entitled Functions, these institutes and centers will provide a valuable opportunity for faculty and students to participate in a program of professional development while also providing a public service as a "clearinghouse for information of interest to practitioners and to conduct workshops and conferences for the continuing education of professionals."
GUIDELINES FOR THE ESTABLISHMENT
OF CENTERS AND INSTITUTES

On many occasions I have spoken about the importance of developing areas of excellence at Cal Poly. One excellent way to identify them and to bring them to the attention of outside constituencies is through the establishment of a center or institute. This designation indicates that the area of excellence is supported by the entire academic community. I urge those of you who are developing areas of excellence to have them formally recognized through the establishment of a center or an institute.

To guide you in this process, I have attached a revision of Administrative Bulletin 72-9, "Guidelines for the Establishment of Centers and Institutes at Cal Poly." It is promulgated as Administrative Bulletin 87-1 and is intended to guide the campus in the procedures governing the development of centers and institutes. These guidelines formalize changes in review procedures that have evolved over the past few years and which have strengthened the process of developing new centers and institutes.

Please note that for the purposes of this bulletin, there is a distinction between a center which is an administrative entity and one that is an academic entity. When we use the term "center" to designate a unit that is created primarily to perform university-wide service functions, we are talking about an administrative center. The Audio Visual Center and the Computer Services Center are examples of such. These centers are not governed by these guidelines.

These guidelines are intended to govern units that are primarily academic or instructionally oriented in nature. As departments and schools attempt to strengthen their programs through interdisciplinary activities, it is natural to want to call these activities "centers" or "institutes." Use of the terms themselves, however, is restricted. No academic unit may use the term "center" or "institute" until the Academic Deans' Council and the Academic Senate have reviewed and approved a proposal for its establishment. It is important that everyone on campus understand this point and follow this process described in this bulletin for the establishment of centers and institutes.

If you have any questions concerning this Administrative Bulletin, please contact Bob Lucas at Ext. 2982.

Warren J. Baker

Date

Note: This Administrative Bulletin should be filed in the Appendix of the California Administrative Manual, and an entry made in the CAM Index and the title added to the Administrative Bulletin's title page.
GUIDELINES FOR THE ESTABLISHMENT 
OF CENTERS AND INSTITUTES

This bulletin gives guidance concerning the rationale and procedures for established institutes and centers. Such academic auxiliary units may be formed as organizational entities within the university if the teaching, research, or public service activities of the faculty members who participate will be improved.

This document governs those academic auxiliary units -- institutes and centers -- that are directed towards the enhancement of selected academic topics within the curriculum. It does not concern itself with the establishment or running of central administrative or service units such as the Computing Center, the Audio-Visual Center, or the Learning Assistance Center, which serve campus-wide functions and which also use the term "Center."

RATIONALE

The main reason for establishing an institute or center is to bring into sharp focus the communication, planning, research, or other efforts of faculty and students interested in an area of study not normally focused by school or departmental organization. A center or an institute can enhance professional development opportunities for faculty, build links with industry and the community, provide identifiable campus entities for practitioners, foster interdisciplinary work, aid in obtaining external support, and complement the instructional program. An academic auxiliary unit will typically follow upon a trend of interest and professional activity already pursued by the proposed membership with some degree of success and will usually involve an important matter currently neglected or an area expected to grow in importance.

Institutes and centers are most often proposed when the normal committee structure does not adequately serve the ends desired. On occasion, a center or institute will be mandated by legislation, or Chancellor's office fiat. In such cases, a proposal for establishment must still be developed and forwarded for review and approval.

DEFINITIONS

An institute is a unit which has more than one interest and/or function.

A center is a unit with one interest and/or function.

An institute may encompass a number of units or centers.
FUNCTIONS

The functions of an institute or center may be any, all of, or more than the following:

- to provide opportunities for the professional development of faculty through basic and applied research and development activities, through challenging consultancies either sponsored or unsponsored, and through faculty exchanges
- to provide a clearinghouse for information of interest to practitioners and to conduct workshops and conferences for the continuing education of professionals
- to enhance the curriculum by facilitating and supplementing academic learning
- to develop opportunities for students to practice their academic disciplines
- to provide supplementary educational support by acquiring gifts, general purpose grants, and equipment donations.

PROCEDURES FOR ESTABLISHING A UNIT

The procedure to establish an auxiliary academic unit has two stages, a preliminary stage and a formal stage. To begin the process, a prospectus or preliminary draft of the proposal will be submitted via the appropriate school dean or deans to the Vice President for Academic Affairs for presentation to the Deans' Council. The proposal will (1) outline the scope of the proposed unit, (2) describe its relationship to the mission of the institution, and (3) provide justification that the proposed unit better serves the needs outlined than the existing departmental, school, or university organization.

If conceptual approval to proceed is given by the Deans' Council and Vice President, the initiators will prepare a formal proposal. This version will consider and answer, among other questions, the following:

- what will the proposed unit do? (research, public service, etc.)
- why is it needed? why is the present organizational pattern not adequate?
- what is its relationship to the instructional program?
- who are the unit's founding members and how does their expertise relate to its purpose?
- what effect will the unit have on the department(s)? (e.g. will it generate released time for faculty or support for student research or internships?)
• what is the organizational structure of the unit?
• what are its bylaws?
• what support is required for the unit?
• what facilities will be needed? (space, equipment, etc.)
• how will the unit be financed in the short term and in the long run?
• what will happen if outside sources of funding are no longer available after the unit is formed?
• what constitutes membership in the unit?
• what is its advisory board? how selected?
• how will the unit ensure that participating faculty receive credit for their contributions in the review for retention, tenure, and promotion?

This formal proposal will be sent to the Vice President for Academic Affairs, who will appoint an ad hoc administrative review committee chaired by the Associate Vice President for Graduate Studies, Research, and Faculty Development to aid in developing the full proposal. After being reviewed by the ad hoc committee, the proposal will then be sent to the Academic Senate for review and recommendations.

After review by the Academic Senate, the proposal (including the Academic Senate review) will be submitted by the committee to the Deans' Council. The deans will make a recommendation to the Vice President for Academic Affairs concerning establishment of the unit and will recommend a maximum for university resource support.

The Vice President will make a determination concerning the technical merits of the proposal and the proposed unit's financial viability, including the identification of any university resources essential to its operation. If the proposed unit is judged viable, the proposal will be forwarded to the President for action.

GENERAL CONSIDERATIONS

Each unit shall be administered by a director reporting to a member of the Academic Administration. The director shall be nominated by the faculty members of the proposed unit, and approved by the school dean(s) involved and also by the Vice President for Academic Affairs.

The director shall submit an annual report following each academic year to the Vice President for Academic Affairs, appropriate dean(s), financial supporters, and the Associate Vice President for Graduate Studies, Research, and Faculty Development. The report shall include a summary of:
Every five years or less, the Vice President will appoint a committee to review the unit and to recommend continuation, change, or dissolution.

Organized units may not offer courses on their own for credit nor confer degrees, but will do so only through regular academic units. Members of a unit do not have academic titles unless they have them by virtue of an appointment in a department.

Administration of finances of the unit, except for that portion from the State budget, will be handled by the Cal Poly Foundation, not by the unit. The director shall be responsible for the unit's budget and for ensuring fiscal solvency.
California Polytechnic State University
San Luis Obispo

RESOLUTION ON

General Guidelines for the
Establishment of
Research, Educational, or Public Service Units

This bulletin gives guidance concerning the rationale and
procedures for establishing institutes and centers. Such
academic auxiliary units may be formed as organizational
entities within the university if the teaching, research, or
public service activities of the faculty members who particip­
ate will be improved.

This document governs those academic auxiliary units --
institutes and centers -- that are directed towards the
enhancement of selected academic topics within the curriculum.
It does not concern itself with the establishment or running
of central administrative or service units such as the
Computing Center, the Audio-Visual Center, or the Learning
Assistance Center, which serve campus-wide functions and
which also use the term "Center."

Rationale:

The main reason for establishing an institute or center is to
bring into sharp focus the communication, planning, research,
or other efforts of faculty and students interested in an
area of study not normally focused by school or departmental
organization. A center or an institute can enhance professo­
ional development opportunities for faculty, build links with
industry and the community, provide identifiable campus
toentities for practitioners, foster interdisciplinary work,
aid in obtaining external support, and complement the
instructional program. An academic auxiliary unit will
typically follow upon a trend of interest and professional
activity already pursued by the proposed membership with some
degree of success and will usually involve an important
matter currently neglected or an area expected to grow in
importance.

Institutes and centers are most often proposed when the
normal committee structure does not adequately serve the ends
desired. On occasion, a center or institute will be mandated
by legislation, or Chancellor's office fiat. In such cases,
a proposal for establishment must still be developed and
forwarded for review and approval.
Definitions:

A Center is a unit which generally encompasses several different disciplines or areas of study within a general area of interest and is typically interdisciplinary.

An Institute is a unit within a department or within a center. The area of interest is less general than that of a center, usually focused on a narrowed area of academic interest to be studied in great depth and detail.

An institute is a unit which has more than one interest and/or function.

A center is a unit with one interest and/or function.

An institute may encompass a number of units or centers.

Functions:

The functions of an institute or center may be any, all of, or more than the following:

- to provide opportunities for the professional development of faculty through basic and applied research and development activities, through challenging consultancies either sponsored or unsponsored, and through faculty exchanges

- to provide a clearinghouse for information of interest to practitioners and to conduct workshops and conferences for the continuing education of professionals

- to enhance the curriculum by facilitating and supplementing course development academic learning

- to develop learning opportunities for students by identifying and developing internships, co-op placements, and summer employment opportunities to practice their academic disciplines

- to provide supplementary educational support by acquiring gifts, general purpose grants, and equipment donations.

Procedures for Establishing a Unit:

The procedure to establish an auxiliary academic unit has two stages, a preliminary stage and a formal stage. To begin the
process, a prospectus or preliminary draft of the proposal will be submitted via the appropriate school dean or deans to the Vice President for Academic Affairs for presentation to the Deans' Council. The proposal will (1) outline the scope of the proposed unit, (2) describe its relationship to the mission of the institution, and (3) present convincing arguments that the present departmental, school, or university organization cannot serve the needs outlined. Provide justification that the proposed unit better serves the needs outlined than the existing departmental, school, or university organization.

If conceptual approval to proceed is given by the Deans' Council and Vice President, the initiators will prepare a formal proposal. This version will consider and answer, among other questions, the following:

- what will the proposed unit do? (research, public service, etc.)
- why is it needed? why is the present organizational pattern not adequate?
- what is its relationship to the instructional program?
- who are the unit's founding members and how does their expertise relate to its purpose?
- what effect will the unit have on the department(s)? (e.g. will it generate released time for faculty or support for student research or internships?)
- what is the organizational structure of the unit?
- what are its bylaws?
- what support is required for its leaders the unit?
- what facilities will be needed? (space, equipment, etc.)
- how will the unit be financed in the short term and in the long run?
- what will happen if outside sources of funding are no longer available after the unit is formed?
- what constitutes membership in the unit?
- what is its advisory board? how selected?
- how will the unit ensure that participating faculty receive credit for their contributions in the review for retention, tenure, and promotion?
Organized units may not offer courses on their own for credit nor confer degrees, but will do so only through regular academic units. Members of a unit do not have academic titles unless they have them by virtue of an appointment in a department.

Administration of finances of the unit, except for that portion from the State budget, will be handled by the Cal Poly Foundation, not by the unit. The director shall be responsible for the unit's budget and for ensuring fiscal solvency.
This formal proposal will be sent to the Vice President for Academic Affairs, who may will appoint an ad hoc administrative review committee chaired by the Associate Vice President for Graduate Studies, Research, and Faculty Development to aid in developing the full proposal. After being reviewed by the ad hoc committee, the proposal will then simultaneously be sent to the Academic Senate for review and consultation recommendations.

The proposal will be submitted via the Associate Vice-President to the Deans' Council. After review by the Academic Senate, the proposal (including the Academic Senate review) will be submitted by the committee to the Deans' Council. The deans will make a recommendation to the Vice President for Academic Affairs concerning establishment of the unit and will recommend a maximum for university resource support.

The Vice President will make a determination concerning the technical merits of the proposal and the proposed unit's financial viability, including the identification of any university resources essential to its establishment operation. If the proposed unit is judged viable, the proposal will be forwarded to the President for action.

General Considerations:

Each unit shall be administered by a director appointed by the person to whom he or she reports, with the concurrence of the line administration through the Vice-President for Academic Affairs, reporting to a member of the Academic Administration. The director shall be nominated by the faculty members of the proposed unit, and approved by the school dean(s) involved and also by the Vice President for Academic Affairs.

The director shall submit an annual report following each academic year to the Vice President for Academic Affairs, appropriate dean(s), financial supporters, and the Associate Vice President for Graduate Studies, Research, and Faculty Development. The report shall include a summary of:

- what was done
- who did it
- how it was financed
- future plans

Every five years or less, the Vice President will appoint a committee to review the unit and to recommend continuation, change, or dissolution.