

Periodic Review Guidelines for Campus Centers and Institutes with Academic Affiliation

Approved by Academic Senate on June 2, 2015 (AS 802-15).

This document replaces and supersedes the "Program Review Guidelines for Campus Centers and Institutes with Academic Affiliation" Approved by the Academic Senate on March 11, 2014

1. Overview

These guidelines govern periodic review for Campus Centers and Institutes with academic affiliation at the College or University level. Such Campus Centers and Institutes are engaged in the enhancement of selected areas of research, teaching, and service.

This policy does not apply to central administrative or service units such as the Gender Equity Center, the Multi-Cultural Center, the Advising Center, or the Center for Teaching, Learning, and Technology, which serve campus-wide functions and which may also use the term "Center" or "Institute." These guidelines do not apply to State or Federal centers or institutes which are governed by separate policies associated with the enabling entity (e.g. Small Business Development Center which is formed through the Federal Small Business Administration, or the CSU Agricultural Research Institute which is a system wide Institute governed by the CSU).

In accordance with the University's policy for the Establishment, Evaluation, and Discontinuation of Campus Centers and Institutes with Academic Affiliation, and the California State University Chancellor's Office Coded Memorandum (CODE: AA-2014-18, dated October 24, 2014), periodic review is required for all Campus Centers and Institutes with academic affiliation (hereafter "Centers/Institutes").

2. Distinguishing Factors of Periodic Review for Centers/Institutes

The periodic review of Centers/Institutes differs from program review for degree granting academic programs offered by an academic college. Unlike an academic college, Campus Centers/Institutes do not award degrees and do not have a degree granting program curriculum committee.

Centers/Institutes operate in the context of supporting the campus mission in the areas of research, scholarship, public service, training, experiential learning, instructional support, and/or other types of co-curricular activities. Centers/Institutes are not expected to create academic assessment plans, because academic assessment plans are designed to evaluate a specific degree granting program.

For clarity, periodic review is different from the annual report requirement for all Centers/Institutes, more fully described in the Policy for the Establishment, Evaluation, and Discontinuation of Campus Centers and Institutes with Academic Affiliation (Approved by the Academic Senate, March 11, 2014).

3. Periodic Review Process

The Director of the Center or Institute, in collaboration with faculty actively involved in the subject Center/Institute, is responsible for proposing the Review Team composition, preparing the Self Study Report, and addressing any requests for additional information or clarifications, each as more fully described below in this policy.

If the Center/Institute lacks a Director at the time of scheduled periodic review, the Vice President for Research and Economic Development shall identify an appropriate substitute to perform the necessary tasks.

4. Composition of Review Team

The Review Team for the Self Study Report shall consist of:

- (A) One director from another Cal Poly Center or Institute;
- (B) One faculty member from Cal Poly (not affiliated with the Center or Institute undergoing periodic review);
- (C) One external reviewer (not affiliated with the Center or Institute undergoing periodic review) with expertise in the field associated with the Center or Institute; and

It is the duty of the Director of the Center or Institute to identify potential Review Team members, as well as consult with and obtain approval of the Dean of the Academic College affiliated with the Center or Institute undergoing periodic review (or the Vice President of Research and Economic Development if the Center or Institute is not affiliated with an Academic College) on the composition of the Review Team. Following such consultation and approval, the Review Team shall be appointed. Review Team members are tasked with reviewing and commenting upon the Self Study Report, and conducting a visit to the facilities of the Center or Institute.

5. Contents of Self Study Report for Centers/Institutes

The Self Study Report shall be structured to address the activities of the Center or Institute from a perspective of both quantitative and qualitative contributions to the campus. For example, the number of students and faculty participating in a particular event, or the number of peer reviewed journal articles which contain research related to center/institute activities, can be measured as quantitative output. Research and experiential activities that link to any University Learning Objectives, Sustainability Learning Objectives, Diversity Learning Objectives, and/or program based learning objectives may serve as forms of qualitative support.

The Self Study Report shall address each of the following items:

- (A) Executive Summary.
- (B) Situational Analysis on outcomes related to the activities of the Center/Institute:
 - (1) Statement of Center/Institute Mission and description of how activities have aligned with that mission, including any suggested revisions to the mission.
 - (2) Overview of how Center/Institute has supported College/University goals, in accordance with organizational documents for Center/Institute.
 - (3) Detailed information regarding academic outcomes related to Center/Institute activities, including references to support of any Academic Program learning goals/learning objectives, as well as University Learning Objectives, Sustainability Learning Objectives, and Diversity Learning Objectives. To the extent the Center/Institute collaborates with academic units on collecting assessment data, provide the data and an analysis of the data.
 - (4) Detailed information regarding teaching, research, and service associated with the Center/Institute, including grants, seminars, competitions, training sessions, community events, and other activities, along with details of faculty/student/industry/community participation and attendance.
- (C) Intellectual Contributions.
 - Detailed list of intellectual output resulting from Center/Institute activities. Include faculty and student research, faculty/student peer reviewed journal publications, theses, conference presentations, and other intellectual contributions directly related to Center/Institute activities.

(D) Financial and Resource Condition.

Financial disclosure shall provide for transparency on the financial status and source/use of funds. Describe the financial and resource situation for the Center/Institute, including projected sustainability of Center/Institute activities and sources of funding.

(E) Accomplishment of Corrective Actions and Achievement of Aspirational Goals Identified in Prior Periodic Review.

Discuss and describe improvements and aspirational goals which were identified in the prior program review and how those improvements/aspirational goals were achieved. If certain goals were not achieved, discuss and describe why, including a corrective action plan (if applicable).

(F) Aspirational Goals.

Describe the aspirational goals of the Center/Institute for the upcoming seven year time period, including details of how these goals will benefit stakeholders and how fiscal and other resources will be obtained to support these goals.

(G) Safety and Ethical Conduct of Research.

Discuss and describe the methodology, training, and protocols implemented to assure safety of persons, protection of property, and ethical conduct of research associated with activities of the Center/Institute.

An appendix containing copies of supporting documentation may provide beneficial artifacts and evidence to support the analysis contained within the Self Study Report.

6. Timing of Periodic Review

The Vice President of Research and Economic Development shall post a periodic review schedule which complies with the Chancellor's Office policy. The Self Study Report and periodic review shall address the time period from the previous scheduled periodic review up to and including the most recent completed academic year, but need not include the current academic year during which the Self Study Report and periodic review is prepared and due.

The deadlines are as follows (references are to dates within the academic year in which the periodic review is scheduled to occur):

(A) Director identifies potential Review Team members and obtains approval for composition of Review Team - October 1;

(B) Review Team members are formally appointed - October 15;

(C) Director submits completed Self Study Report to Review Team members - February 1;

(D) Review Team members transmit request (if any) for clarification on contents of Self Study Report to Director - March 1;

(E) Director submits clarification to Review Team - March 21;

(F) Review Team submits final written comments on Self Study Report to Director - April 15;

(G) Director submits Self Study Report, clarifications, Review Team comments, and any rebuttal to Review Team comments to the Dean of the Academic College affiliated with the Center or Institute undergoing periodic review - May 1.

(H) Following review of the materials in Section 6(G), the Dean of the Academic College affiliated with the Center or Institute undergoing periodic review and the Vice President for Research and Economic Development shall consult and provide copies of these materials and any comments to the Provost and Executive Vice President for Academic Affairs.

Copies of the documents described in Section 6(C) through 6(G) shall be simultaneously transmitted to the Dean of the Academic College affiliated with the Center or Institute undergoing periodic review and the Vice President for Research and Economic Development.

In the event of exigent circumstances which merit an extension, the Vice President for Research and Economic Development may grant an appropriate extension.

7. Action Items

Based upon the information from the periodic review, the Provost and Executive Vice President for Academic Affairs, the Dean of the Academic College affiliated with the Center or Institute, and/or the Vice President for Research and Economic Development may request clarifications and/or a corrective action plan from the Director of the Center or Institute. The Director shall address such items in a timely manner. The periodic review documents shall be stored by the Office of the Vice President for Research and Economic Development.