

PM 2020-02

President Thomas A. Parham

January 23, 2020

Centers and Institutes Policy and Procedure

I. Purpose and Definition

This Center and Institute policy is CSUDH's implementation of CSU Memo AA-2014-18, dated 10/24/14 on Centers, Institutes and Similar Organizations. A Center or Institute is an academic entity established by the University to provide a supportive infrastructure for activities complementary to the mission and goals of the University and specific academic/administrative units. A Center or Institute functions to facilitate instructional and research collaborations, disseminate the results of research and scholarly and creative activities through conferences, meetings and other activities; strengthen graduate and undergraduate education by providing students with training opportunities and access to facilities; seek extramural support; and carry out university and public service programs related to the Center or Institute's expertise. A Center or Institute may not offer degree programs.

The Dean of Graduate Studies and Research maintains a directory of Centers and Institutes at the University. The College Dean(s) will be most directly responsible for the operational and fiscal activities of the Centers and Institutes under their jurisdiction and will review all requests for the establishment of Center and Institutes (in consultation with the appropriate department chair/s) and submit the request to the Provost for review. The Provost will then forward his/her recommendation to the President for final consideration of establishment of the Center or Institute. Once approved, the Provost will communicate the recommendation to the Dean of Graduate Studies and Research.

It is important to distinguish between formally established and approved Centers and Institutes and other units of less formal character. Other units such as special library collections, art galleries, museums, tutoring centers, departmental laboratories and special initiatives are not Centers and Institutes, unless they have been officially approved as such. In the solicitation of extramural funds for a project by a unit that has not been granted Center or Institute status, care should be taken not to use terminology nor make presentations which suggest that the proposing unit is in fact a university approved Center or Institute or is about to become one.

New proposals for establishing a Center or Institute should consider the following definitions of each designation prior to formalizing a request for review.

Institute: a major unit that coordinates and promotes faculty and student research and scholarly and creative activities on a continuing basis over an area so wide that it extends across department,

school or college, and perhaps even beyond campus boundaries. The unit may also engage in public-service activities stemming from its activities, within the limits of its stated objectives.

Center: a unit, sometimes one of several forming an Institute, that furthers research, scholarly and creative activities, and public service in a designated field; or a unit primarily providing facilities and services for other units and departments.

II. Organization Governance Structure

Director

Each Center/Institute will be headed by a Director. A selection committee will be appointed by the Dean of the College/Administrative unit. The jurisdictional Dean(s) shall make the final recommendation for appointment to the Provost and President.

Advisory Committee

The Director may be advised and aided by a standing Advisory Committee to determine criteria for affiliation with the Center/Institute, recommend changes in the units' participants, advise the Director on major decisions affecting the unit, and critically evaluate the unit's effectiveness on a continuing basis. The Chair of the Advisory Committee, and as many other participants as practical, should meet with the five-year and continuation review committees during the course of their reviews.

Membership

Centers and Institutes may have diverse types of affiliates. Some examples are given below:

1. Industrial affiliates; companies with an interest in a Center or Institute. They may pay an annual fee and gain defined privileges (e.g., parking passes, etc.).
2. Public Service Affiliates; government, non-government, non-profit organizations and community members who are interested in and supportive of the Center or Institute activities.

III. Procedure for Establishment

Proposal

At an early stage of development, proposed Center and Institute core participants are encouraged to consult with department chairs and Dean(s) to develop a proposal. In developing a proposal, the following should be addressed:

1. Goals and objectives.

2. Proposed research, scholarly and creative activities, and public service activities.
3. Discussion of the added value and capabilities to be brought by the Center or Institute and an explanation of why they cannot be achieved within existing campus academic units.
4. Impact, if any, on existing academic programs and units.
5. Names of participants who have agreed in writing to participate in the activities; projected numbers of faculty, graduate students, professional appointees, and other personnel who will participate in the Center and Institute activities.
6. Resource needs, including campus resource utilization and anticipated sources of funding with plans and time lines to achieve a level of self-support acceptable to the Dean(s) of jurisdictional College(s) or administrative unit director.
7. Immediate space needs and how they will be met for the first year, including anticipated building and room number if known; realistic projections for future space needs.
8. Proposed organizational location/reporting line, i.e. to what position will the director report for questions and support.
9. Advisory Committee development description. (composition and function)

Administration Oversight

Administration of finances of the center or institute, except for that portion from the State budget, will normally be handled by CSUDH Foundation via the Office of Sponsored Research and Programs. Administration of State budgets for the center or institute will be handled by the college.

When the center or institute receives indirect funds (F&A) from grants for which the center or institute receives resources from a department, the director and College Dean will negotiate appropriate F&A reimbursement for the departmental resources. This reimbursement will not supersede the Office of Sponsored Research and Program's *Charging Direct and Indirect Cost* policy.

Review Process

The proposal is submitted via the Department Chair or School/Program Director to the College Dean (or Director of Administrative Unit, as appropriate) most directly affected. After review and approval at these levels, the proposal is forwarded to the Dean of Graduate Studies and Research, and the Provost. The Provost and the CFO or designee will make a joint recommendation to the President, who has the authority to establish a Center or Institute.

The recommendation will include identifying the appropriate entity to administer finances for the center or institute based on the following criteria:

CRITERIA	FINANCIAL ADMINISTRATION	
	STATE	FOUNDATION
1. Self-support? Do non-State revenues sufficiently cover all expenditures?	No	Yes
2. Are state employees providing services and compensated by non-CSU revenues as "Additional Employment" per Unit 3 CBA Clause 36?	No	Yes
3. Is the nature of the work funded through grants and contracts as faculty release time?	No	Yes

IV. Annual Report

By June 30th of each year, each Center or Institute submits a report on the activities for the past fiscal year to the appropriate College Dean(s) or administrative unit director and Graduate Studies and Research Dean who will ensure that all reports are submitted timely. When the Center or Institute has an Advisory Committee, its Chair is to be consulted in the preparation of the report. The report will include the following:

1. Brief summary of major activities during the past year.
2. Names, titles, and organizational affiliations of persons serving on the unit's advisory committee if applicable.
3. Names of faculty members actively engaged in the research and scholarly and creative activities of the Center or Institute.
4. Names of undergraduate and graduate students and postdoctoral fellows directly contributing to the unit who are on the unit's payroll, participate through assistantships, fellowships, or traineeships, or are otherwise involved in the unit's work.
5. Extent of student and faculty participation from other CSU campuses or universities.
6. Extent of participation by industry, government and non-governmental organizations.
7. List of publications developed by the unit, including books, journal articles, and reports and reprints issued under its own covers, showing author and title. (Subject to AB 2192 effective January 1, 2019).
8. Sources and amounts (on an annual basis) of income including contracts and grants, gifts, University support, service agreements, and income from sale of publications and other services. State and non-State sources of income must be reported.
9. Expenditures from all sources of support funds, distinguishing use of funds for administrative support, direct research, and other specified uses.
10. Description and amount of space currently occupied.
11. Any other information deemed relevant to the Center or Institute achievements.

Additionally, one of the responsibilities of Deans/Appropriate Administrative Directors is oversight of the budgets, which includes compensating the University/Foundation for any overruns in expenditures. In addition, cost recovery reimbursement shall be made to the University's

Operating Fund when applicable in accordance with EO-1000 and campus procedures. EO-1000 cost recovery reimbursement shall be waived for those centers or institutes that are not self-support entities during the first three years of its establishment.

Following submission of the annual report, the Dean of Graduate Studies and Research, relevant Dean, and Provost will determine whether the Center Director should meet in person to review the report, the budget, regulatory, risk and liability issues, and to determine whether the Center/Institute is functioning according to DH and CSU guidelines. It is recommended that any Center/Institute with one or more of these characteristics –

- More than one funding stream
- an external location
- external partnerships
- split accounts and employees between CSUDH Foundation and CSUDH
- a retail activity
- international involvements
- a recent change in leadership
- involvement with the mayor's or governor's offices

undergo this expanded in-person review. Such an expanded review may involve Administration and Finance, Sponsored Research and Programs, the Dean, and Risk Management meetings with the Center Director.

Recommendations will be provided in writing to the Dean and Center Director, for possible amendments to the annual report. The amended report will be forwarded to the Provost.

The Dean of Graduate Studies and Research will make available to the Office of the Chancellor a list of all CSUDH Centers and Institutes, including the name and purpose of each entity. The list is to be updated annually.

V. Five-Year Review

Each Center or Institute is reviewed at intervals of five years or less, and no Center or Institute may be continued without periodic review. The review considers original goals, present functioning, future plans, and continuing development and to ascertain whether it is functioning in a manner that justifies the space and support it receives. Its success in meeting previously established objectives and plans to meet new challenges are also examined. The effectiveness of the Director likewise is reviewed at the same time as the Center or Institute.

Review Process

The appropriate College Dean(s) or administrative unit director coordinates the review.

1. The Center or Institute Director prepares a profile covering the mission or history, resources, staff, research and scholarly and creative activities, and administration. After review by the Advisory Committee, the materials are forwarded to the jurisdictional Dean(s) or administrative unit director.
2. The College Dean(s) or administrative unit director appoints a review committee composed of three faculty members, two administrators, and the Dean of Graduate Studies and Research.
3. The review committee examines the materials provided to them about activities and accomplishments, including annual reports for the 5-year period under review; interviews with the Center Director, Advisory Committee members, associated faculty and the appropriate Dean(s) and other individuals deemed pertinent to the review.
4. The College Dean(s) or administrative unit director meets with the Center or Institute Director to discuss the report.
5. The Director prepares a written response to the review after consulting with members of the Advisory Committee within 30 days.
6. The Director, College Dean(s) or administrative unit director meet to discuss the report, the director's response and future plans for the Center.
7. The Dean(s) or administrative unit director sends the report along with his/her comments regarding continuation, directorship, and other review matters to the Provost for consideration.
8. In consultation with the Dean(s), the Provost considers the comprehensive findings and recommends to the President to continue or disestablish the Center or Institute. S/he also makes a recommendation for the retention/termination of the Center Director.

Report of the Five-Year Review Committee

The report should speak to the positive as well as negative aspects of the committee's findings. Good work needs the reinforcement of recognition, but the committee may wish to recommend changes in organization and policy, or recommend disestablishment of the Center or Institute if it no longer seems to be fulfilling the needs or if it seems unable to maintain an adequate level of activity.

Justification for continuation must be documented carefully. The review committee should consider and make specific recommendations on the following range of alternatives to the status quo; a change in funding from State or University resources; a change in other resources (such as space, etc.); a change in the mission of the unit; a merger of the unit with one or more units on campus; discontinuance.

Directors of Centers or Institutes are normally appointed for five-year terms, the appointment period coinciding with the review period. The review committee should look critically at the stewardship of the organization and comment on its quality. An evaluation, in the form of a written document, will be completed before the committee makes a recommendation for reappointment or termination of the Director.

The review committee should include any other suggestions for improvement in policy or activities.

The review committee may, if it thinks appropriate, prepare a confidential statement to the Dean(s) or administrative unit director. It may also provide confidential letters received from individuals during the review process.

VI. Continuation Reviews

If a Center or Institute would like to extend beyond 10 years, a formal proposal should be prepared indicating need for support funds and space in context of the University's needs and resources at the time.

All Centers or Institutes must establish rationale for continuance, in terms of scholarly or scientific merit, self-sufficiency and campus priorities, at 10-year intervals.

The continuation review processes are the same as those for 5-year reviews, and continuance proposals should incorporate items covered in five-year reviews.

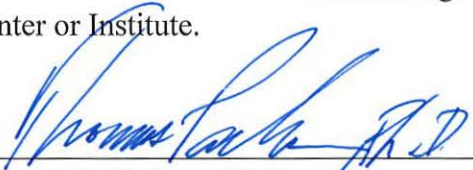
VII. Procedure for Disestablishment

1. Five-year and continuation review committees recommend, among other things, continuation or disestablishment of the Center or Institute.
2. A recommendation to disestablish receives careful review by the Center Director, Center Advisory Committee (if any), department chairs, relevant Dean(s) or administrative unit director, and the Provost.
3. After reviewing comments from all the committees and individuals, and if the jurisdictional Dean(s) determine that disestablishment is the best course of action, then jurisdictional Dean(s) recommends such disestablishment to the President via the Provost.
4. The President issues a letter formally disestablishing the Center or Institute.
5. The Center or Institute name is removed from the Directory of Center and Institutes maintained by the Dean of Graduate Studies and Research.

VIII. Procedure for Name Change

The request for a new name usually reflects new directions in the research or scholarly and creative activities, the expansion or addition of new knowledge or fields of research and scholarship to the mission of the Center or Institute.

Approved: _____


Thomas A. Parham, Ph.D.
President

Date: _____

