

POLICY GUIDELINES FOR THE FORMATION AND REVIEW OF INSTITUTES AND CENTERS

FAM 105.4

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Purpose and Scope

Ancillary Units (such as Institutes and Centers) have become the principal instruments by which a university community can organize particular areas of research, curricular programs, and service to the community which transcend the boundaries of traditional academic departments or disciplines. They are characterized by their flexible goals and structure, specific functions, and are multidisciplinary in nature. Ancillary Units can provide a valuable link among separate but related academic disciplines and between the academic expertise of the University and the needs of the surrounding community. All Ancillary Units must contribute to the academic and strategic mission of California State University San Bernardino (CSUSB). The academic mission of the University includes instruction, research, and service, including community partnership and other such enterprises.

Definitions

1. **Ancillary Unit:** For the purpose of this policy, the term “Ancillary Units” shall be taken to include centers, institutes, bureaus, laboratories, research groups, councils, consortia, or similar entities that support the academic missions of the University. It does not apply to other types of entities that may have similar titles (e.g., the Student Health Center, the Learning Center) but that either support the nonacademic functions of the University or are housed and funded by the

University administration. This policy applies to all Ancillary Units currently established as well as those that may be developed in the future.

2. **Functions of Ancillary Units** may include, but are not limited to:
 - a. conducting opinion polls and focus groups
 - b. conducting basic research
 - c. data gathering
 - d. developing policy studies and analyses
 - e. disseminating research findings
 - f. forming a group for submission of grants proposal(s) for support of professional activities
 - g. providing a link between the University and outside organizations
 - h. sponsoring conferences
 - i. sponsoring, coordinating, and promoting the research of faculty and students from several departments or colleges.
 - j. submitting grant/contract proposals, and conducting funded sponsored programs activity.
3. Ancillary Units shall not offer courses for University credit; however, courses may be offered in conjunction with a department or college.
4. All Ancillary Units must be reviewed by the Faculty Senate and Provost/Vice President of Academic Affairs (VPAA) or designee, and be approved by the President. Once approved, these units have the right to seek outside funding as university entities.
5. **Ancillary Units Status:** Ancillary Units are to be classified internally based upon the stage of development and/or adherence to reporting requirements set forth in this policy.
 - a. **Developmental Status:** An Ancillary Unit with “developmental” status is a new unit which will be reviewed at the end of the third year of operation. This “developmental” status label is to be used only for CSUSB internal purposes, and under most circumstances should not be used in applications for external funding. After a successful third-year review, the Ancillary Unit will be granted “active” status. The Ancillary Unit may formally request another cycle of developmental status if it requires additional time. An Ancillary Unit with “developmental” status submits an annual report to the Unit’s reporting person (see section 6) and to the Faculty Senate.
 - b. **Active Status:** An Ancillary Unit with “active” status has undergone a successful review at the end of its third year and submits an annual report to the Unit’s reporting person and to Faculty Senate. Once granted “active” status, the Ancillary Unit may be asked to undergo further review if deemed necessary by the Unit’s Reporting Person or by the Provost/VPAA.

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- c. **Probationary Status:** An Ancillary Unit that fails to submit an annual report to the reporting person (see below) or that fails to provide written responses to the CCI's recommendations within 30 days will be considered to be on "probationary" status. The reporting person or CCI shall notify the Unit, the designee of the Provost/VPAA, and the Faculty Senate Office, and the Unit will be given 60 days after notification to submit an annual report or its written responses to the CCI's recommendations. Failure to submit the annual report within this time will lead to placement of the Ancillary Unit on "inactive" status.
 - d. **Inactive Status:** An "inactive" Unit may not seek funding or function as an Ancillary Unit until it has undergone a successful review and has been reinstated by the Provost/VPAA. To regain "active" status, the Unit must submit required documents (see section 17) and a written request for reinstatement to the Unit's reporting person, who will forward the documents along with his/her comments to the Faculty Senate and Provost/VPAA. The CCI will review the request and forward its recommendation for reinstatement to the Faculty Senate Executive Committee, which will provide its recommendation to the Unit's reporting person and the Provost/VPAA.
 - e. **Termination:** An Ancillary unit may be terminated if it remains on "inactive" status for 12 months or for other compelling reasons, as determined by the Faculty Senate and the Provost/VPAA.
- 6. **Reporting Person:** The "reporting person" is the head of the academic unit or administrative division of the University (e.g., department, college, Office of Graduate Studies, Office of Academic Affairs) who has programmatic oversight of the Ancillary Unit.
 - 7. **Director:** The "Director" shall be the person or persons who are responsible and accountable for the activities of the Unit. The "Director" may be a single director, multiple co-directors, an executive director, or a committee with at least one person who is identified as "responsible" for the governance of the Ancillary Unit.
 - 8. **Annual Report:** The "annual report" is the report that the Ancillary Unit shall make each year to the reporting person. The annual report will include information regarding the Ancillary Unit's goals and accomplishments, the participation of students and faculty in the Unit's activities, the Unit's governance and reporting structure, the amount of external funds raised, units of assigned time, and the use of the University's internal resources.
 - 9. **Committee for Centers and Institutes (CCI):** The CCI shall be established as a special committee of the Faculty Senate that is composed of one tenure-track faculty member from each college, one student representative, and two current directors of centers or institutes. The CCI is responsible for conducting

administration and oversight of the procedures established in this policy, including:

- a. review proposals for the creation of centers and institutes and refer the proposals to the Executive Committee of the Faculty Senate for action;
- b. review annual reports and conduct periodic reviews for centers and institutes and make recommendations on their status to the Faculty Senate, Provost, and President
- c. complete annual updates on the center and institute automated system, including inputting current contact information for CI directors and reporting persons;
- d. conduct administration and oversight of the completion, submission, tracking, and storage of center and institute proposals, annual reports, and the procedures for periodic review;
- e. coordinate support and, where appropriate, foster collaboration among centers and institutes across campus;
- f. provide the Executive Committee of the Faculty Senate a report at the end of each semester that includes the status of all CI annual reports and a summary of other committee activities related to the duties described above.

Policy Statement

10. Every Ancillary Unit must be under the programmatic oversight of an academic unit or administrative division of the University (e.g. department, college, Office of Graduate Studies, or Office of Academic Affairs) pursuant to Executive Order No. 751, which is available at <http://www.calstate.edu/EO/EO-751.pdf>.
11. The Ancillary Unit may choose the leadership structure which best suits the mission of the Unit, as long as it clearly delineates who is responsible and accountable for activities of the Unit. The responsible person—referred to as the “Director”—should be the most qualified person/people for the role, where “qualified person” is operationally defined to mean a person, who has the technical and managerial expertise to assume the role, as well as the capacity to operate in an academic environment. Under most circumstances, the Director should be a tenure-track faculty member.
12. Ancillary Units with “developmental” status should consider including an Advisory Board composed of tenure-track faculty, the Director and where useful, an appropriate number of community members. Ancillary Units without a faculty director must have an advisory board with at least two faculty representatives appointed by the Executive Committee of the Faculty Senate. The members of the Advisory Board shall be approved by the Unit’s reporting person, (e.g. College Dean, Provost/VPAA). Existing Active Ancillary Units may also wish to include an Advisory Board.

13. While it is expected that most Ancillary Units will eventually generate enough external funding to become self-sufficient, the University may provide some initial support in the form of assigned time, office space, equipment, staff support, etc.
14. Once an Ancillary Unit is approved as “developmental” or “active” status, the Unit may seek funding from outside entities. All formal agreements or contracts must be signed by the Executive Director of the University Enterprise Corporation for CSUSB (UEC) or his/her designee, or the President or his/her designee. See the Policy for the Administration of Grants and Contracts in Support of Sponsored Program, which is available at http://policies.csusb.edu/grants_and_contracts.htm.
15. All Active Ancillary Units shall be listed in the Campus Directory along with the name(s) and phone number(s) of the Director, staff, and the address of the office where the Ancillary Unit is primarily housed.
16. Normally, Ancillary Unit programs and activities fall under campus ownership, including component activities and program funds, and therefore must follow campus policies and procedures. In case of externally funded grant and contract activity, policies and procedures negotiated by the UEC/Sponsored Programs and the external funding agency must be followed.

Procedure and Process

APPROVAL PROCESS FOR INSTITUTES:

17. Proposals for the formation of an Ancillary Unit shall employ the following procedures:
 - a. A clear statement and delineation of the purpose of the proposed Ancillary Unit. The statement shall include a description of how the activities of the Unit are intended to contribute to the accomplishment of the stated purpose and to the academic and strategic mission of the University.
 - b. A clear statement of how the Ancillary Unit will be housed within an academic or administrative division of the University (e.g. department, college, Office of Graduate Studies, or Office of Academic Affairs) and description of:
 - i. the proposed organizational and governance structure (including an organizational chart and signature of all individuals involved in the Ancillary Unit); and
 - ii. a clear statement of who is responsible for reporting the Unit’s activities (e.g. Provost/VPAA or designee, Associate Provost of Research, College Dean, etc.).

- c. A statement of any anticipated relationships with public or private agencies or organizations.
 - d. A description of the membership, roles, and responsibilities of the Advisory Board. Any potential conflicts of interest should be identified.
 - e. Consultation with any affected departments, colleges, etc, shall be conducted. Comments/feedback, recommendations, and signatures shall be provided by the chairs and deans of these affected entities.
 - f. A statement of goals and objectives of the Unit including approximate time frames for different activities noted. These goals and objectives should be used as the guidelines for the annual assessment of the Ancillary Unit.
 - g. Where applicable, a statement of how the unit will conform to accepted standards of academic research, including peer review, human subject research, animal research, etc.
 - h. A statement of all possible sources of anticipated funding (internal and external).
 - i. A projected budget for the first three years of operation with revenues and expenditures, including funding requirements from University sources (Note: Approval of the Ancillary Unit does not mean that the Unit will receive funding from the University). The budget report should follow the format established by the CCI (Appendix A).
18. A proposal for an Ancillary Unit shall be submitted to the Faculty Senate Executive Committee, which will refer it to the CCI and other appropriate committees (e.g., the General Education Committee, the University Curriculum Committee, the Faculty Affairs Committee, or other committees of the Faculty Senate) for review. These committees shall forward their comments and recommendations, including any concerns and suggested changes for the original proposal, to the Executive Committee of the Faculty Senate. The proposal along with the recommendations from the CCI and any other committee(s) that reviewed the proposal shall be placed on the Faculty Senate agenda as an action item. Additionally, prior to the Faculty Senate meeting, the Executive Committee of the Faculty Senate shall send an email announcing its agenda containing the name of the Ancillary Unit. Comments or concerns regarding the proposed Ancillary Unit may be made to a senator prior to the Faculty Senate meeting for which this Ancillary Unit's approval is an information item. Full copies of the original proposals will be made available in the Faculty Senate Office.
19. The Provost/VPAA (or designee) will make recommendation(s) to the President regarding approval of the proposal. If the proposal is approved and signed by the President, copies of the final proposal will be filed in the Unit's reporting person, Office of the Provost/VPAA, and in the Faculty Senate Office. The newly approved Ancillary Unit shall have "developmental" status and be subject to review at the end of its third

full academic year of operation (see section 5). The Office of the Provost/VPAA will maintain a list of Ancillary Units, including contact information for Director(s) of the Unit.

20. If the President does not approve the Ancillary Unit proposal, his/her written comments and recommendations will be submitted to the Executive Committee of the Faculty Senate and a copy will be sent by the Office of the Faculty Senate to the originator(s) of the proposal. The President's written comments and recommendations will also be included on the Faculty Senate agenda as an information item.
21. Upon approval, the Ancillary Unit may seek funding from the University and from external sources. The approval of the Ancillary Unit does not mean that the requested university resources will be provided. The decision for university resources will be made by the President or Provost/VPAA or designee.

ANNUAL REPORTS:

22. By October 1st of each year, the CCI will initiate the procedures for the submission of annual reports and the completion of periodic reviews. The CCI will send fillable electronic forms (using Adobe Sign or another electronic platform) to the Units' directors which will be used for the submission of annual reports. The CCI is responsible for updating its record of Units' directors and contact information prior to initiating the procedures. The CCI shall forward its updated record of contact information for centers and institutes to the Associate Provost for Academic Research who is responsible for submitting it to the Chancellor's Office.
23. By October 30th of each year, each Ancillary Unit will submit an annual report of activities for the previous academic year using the electronic form sent by the CCI. The CCI is responsible for routing each annual report to the Unit's reporting person and Provost/VPAA. The Unit's reporting person will submit their recommendations by December 15 using the electronic form. The Unit's reporting person will include with their recommendation the method used for the review (e.g., what elements were evaluated, including budget and accomplishments; and what discussions were held). The CCI is responsible for routing the reporting person's recommendations to the Units' directors.
24. The Ancillary Unit may submit attachments with their annual report where applicable.

ANCILLARY UNIT REVIEW PROCESS:

25. The CCI will review each Ancillary Unit once every five years. If at the conclusion of the review there are one or more unsatisfactory outcomes, the next review may be

scheduled in fewer than five years. In addition, the Unit's reporting person, the Provost/VPAA, or the Executive Committee of the Faculty Senate may initiate the review process for an Ancillary Unit.

26. For the CCI's periodic review of the Ancillary Unit, the CCI shall obtain from the Faculty Senate office an original or revised proposal for the Ancillary Unit. The CCI shall also obtain copies of the annual reports since the last review of the Ancillary Unit, which the CCI is responsible for storing on a University approved cloud (Microsoft Sharepoint or another online cloud service);

For the Ancillary Unit's periodic review, the Unit's Director(s) will provide a short cover memo that explains the contents and highlights of these annual reports

27. The CCI will review the material provided by the Ancillary Units, recommend a status for them (from section 5 above), and indicate problems if they exist. The CCI will evaluate the Unit using the following criteria:
 - a. the success of the Ancillary Unit in meeting the goals and objectives outlined in the original approved proposal;
 - b. the effective use of all internal University support;
 - c. the success of obtaining external support and the use of that support;
28. The report of the CCI shall be submitted, as completed, to the Provost, Unit Reporting Person, relevant College Dean, Director(s), Sponsored Programs, Executive Committee, and President by March 30th. The report will include the evaluation criteria and methods used to review the Unit. Within 30 days of receiving the CCI's report, Ancillary Units may respond in writing to any recommendations made by the CCI. The Unit's written response shall be attached to the Unit's annual report, included in the formal record of the review, and forwarded to the Provost/VPAA.
29. The Senate shall receive the reports as information items. The Provost/VPAA (or designee) shall review the report and make recommendations on the status of the Ancillary Unit as "continuing developmental (to be reviewed in 3 years)," "active," "inactive," "probationary," or "termination." The report and recommendation(s) will be forwarded to the President by May 15th, who shall make the final decision.
30. Upon discontinuance or termination of an Ancillary Unit, all residual funds and property become custody of the academic unit or administrative division of the Reporting Person and shall be used for similar programs/activities that advance the mission of the campus.

Approvals

Approved by the Faculty Senate on April 11, 2023

Approved by the Provost on _____

Approved by the President on _____

History

First created: _____ [Date] by _____

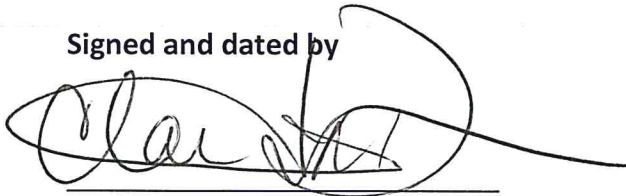
Revised: _____ [Date] by _____

Renumbered: _____ [Date] from _____ to _____

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Approved by the CSUSB Faculty Senate on April 11, 2023

Signed and dated by

A large, stylized handwritten signature in black ink, appearing to read 'Claudia Davis', written over a horizontal line.

Claudia Davis (Senate Chair)

April 18th 2023

Date

A handwritten signature in black ink, appearing to read 'Tomás Morales', written over a horizontal line.

Tomás Morales (President)

4/24/2023

Date

[This is the last page of a FAM document and shall be kept in the senate office. The dates on this page must match dates on the corresponding lines of the previous page.]