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CENTERS AND INSTITUTES POLICY AND PROCEDURE

1.0 DEFINITION AND PURPOSE

This Centers and Institutes policy and procedure document serves as California State University, Dominguez Hills (CSUDH)'s implementation of California State University (CSU) [Coded Memorandum AA-2014-18](#) on Campus Centers and Institutes. A Campus Center or Institute (CCI) 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 CCI's expertise. CCIs may not offer degree programs.

2.0 SCOPE

It is important to distinguish between formally established and approved Campus Centers and Institutes and other units of less formal character. Other units such as special library collections, art galleries, museums, tutoring and professional development centers, departmental laboratories and special initiatives are not considered CCIs within the scope of AA-2014-18 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 CCI status, care should be taken not to use terminology nor make presentations which suggest that the proposing unit is in fact a University-approved CCI or is about to become one. The Dean of Graduate Studies and Research maintains the authoritative directory of CCIs at the University. This policy discusses the organization and structure of CCIs, as well as their establishment, review, and dissolution.

3.0 GENERAL PROGRAM INFORMATION

3.1 CCI OVERSIGHT AND GOVERNANCE STRUCTURE

Administrative Oversight

Responsibility for administrative oversight of CCIs as a whole is delegated to the Dean of Graduate Studies and Research. Individual CCIs will each have a named Administrator to whom the CCI reports. For CCIs housed within individual Colleges, this is typically the College Dean. For CCIs whose missions are interdisciplinary or span multiple Colleges or University divisions, the jurisdictional Administrator is the Provost and Vice President of Academic Affairs.

Administrative responsibility for one or more University-wide Centers and Institutes may be further delegated at the Provost's discretion. In all cases, the jurisdictional Administrator must be a CSUDH Management Plan Personnel (MPP) employee, preferably with binding signature authority in at least one major administrative area.

Director

Each CCI will be headed by a named Director. The Director is the primary individual responsible for the overall functioning of the CCI, including ensuring that the CCI is on track to meet its proposed goals and objectives; stewarding funds and resources and securing additional funding to meet the CCI's sustainability plan; and providing leadership to CCI affiliates. Depending on the scope and planned activities of the CCI, one or more Associate Directors may be appointed to assist the Director with these oversight activities. Director-level appointments are typically accompanied by reassigned time, which should be factored into the CCI's proposed budget.

The initial proposed Director must be named in the CCI charter. The appointment of a new Director must be approved by the jurisdictional Administrator to whom the CCI reports. Associate Director(s) may be named by the Director contingent on approval of the jurisdictional Administrator.

Membership

CCIs may have diverse types of affiliates. Some non-exhaustive examples are given below:

1. CSUDH faculty and staff serving in key leadership roles (e.g., Director, Associate Director, Coordinator).
2. CSUDH faculty, staff, and students participating in major CCI activities.
3. Industrial affiliates, who represent companies with an interest in a CCI. They may pay an annual fee and may gain defined privileges (e.g., parking passes).
4. Public service affiliates, who are members of government, non-government, or non-profit organizations and/or community members who are interested in and supportive of CCI activities.

Advisory Board

The Director shall be advised and aided by a standing Advisory Board to determine criteria for affiliation with the CCI, 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 Advisory Board, and as many other participants as practical, should be prepared to provide feedback on the CCI to the five-year and continuation review committees during the course of their reviews.

Financial Oversight

Administration of finances of the Center or Institute, except for any portion from the State budget, will normally be handled by the CSUDH Foundation. CCI funding that originates from extramural grants and contracts will be managed by the Office of Sponsored Research and Programs. Administration of State budgets for College-based Centers and Institutes will be handled by the jurisdictional College; for University-wide Centers and Institutes, State budgets will be managed by the Provost's Office.

3.2 PROCEDURE FOR ESTABLISHMENT

The Charter Document

At an early stage of development, core participants are encouraged to consult with department chairs and Dean(s) to develop the charter for the proposed CCI. Charters must follow the format of the CCI Charter Template, available from the Department of Graduate Studies and Research. CCIs will be chartered for a period of five years unless a shorter charter period is proposed at the discretion of the proposing members, jurisdictional Administrator, Provost, or President.

In developing the charter, the following information must be addressed:

1. Name of the Center or Institute
2. Purpose and Functions
 - a. Organization goals and objectives
 - b. Proposed research, scholarly, creative, and/or public service activities
 - c. Added value and capabilities to be contributed by the Center or Institute, and an explanation of why these cannot be achieved within existing campus academic units
3. Personnel and Governance Structure
 - a. Proposed organizational location/reporting line, i.e., in what College or Administrative Unit the CCI is housed and to which Administrator the Director will report for oversight and support (e.g., College Dean, Provost)
 - b. Organizational structure, including name of proposed Director, any Associate Director(s), and any other key administrative personnel
 - c. Individuals who have agreed to participate in the CCI's proposed activities
 - d. Projected numbers of faculty, staff, graduate and undergraduate students, professional appointees, and any other personnel who will participate in CCI activities
 - e. Advisory Board composition and function
4. Financial Plan
 - a. Initial source(s) of funds to launch the CCI
 - b. Proposed budget for the initial chartering period (typically five years), including all expected sources of funding and all known and anticipated costs

- c. Plan and timeline to achieve a level of self-support acceptable to jurisdictional Administrator
5. Impact Statement
 - a. Impact (if any) on existing academic programs and units
 - b. Financial and other resource needs and anticipated utilization, delineated by startup vs. ongoing/maintenance
 - c. Immediate and long-term space needs, including anticipated building and room number (if known)
6. Annual Report
 - a. Activities required by the Director and jurisdictional Administrator to meet the annual reporting requirement
 - b. Deadlines for submitting the annual report and notification of corrective actions, if applicable
 - c. Contents of the annual report (i.e., required reporting topics)
7. Establishment Date, Initial Charter Period, and Dissolution Date

Charter Review Process

The draft charter for the proposed CCI will initially be submitted to the College Dean (or Director of a non-College Administrative Unit, as appropriate) most directly affected. Deans and Directors are encouraged to work with the proposing parties to ensure all required criteria are addressed in the draft charter. Upon approval, the College Dean or Administrative Unit Director will forward the charter to the Dean of Graduate Studies and Research, who will initiate a campus-wide sharing process to solicit feedback from the campus community about the proposed center. The proposers should provide a brief synopsis of the draft charter, including the CCI name, a brief summary of the purpose, goals, and planned activities of the CCI, and the proposed leadership structure, including named Director(s) and jurisdictional Administrator. The Dean of Graduate Studies and Research (or designee) will provide an initial review of the charter and synopsis and, at their discretion, may request revisions to the charter before submitting the charter for campus-wide sharing.

The synopsis of the proposed CCI will be shared with the campus for a period of 10 working days during the academic year. Members of the CSUDH community may contact the proposers for additional information, and may provide written comments to the Department of Graduate Studies and Research. The campus-wide sharing process is not intended to be a veto process, but rather an opportunity for comments and concerns, including objections, to be included and addressed in further cycles of review. Following the 10-day comment period, the Dean of Graduate Studies and Research will compile all feedback received during the campus-wide sharing process and place the proposed charter on the agenda for the next available Academic Affairs Council (AAC+) meeting.

The AAC+ meeting is the primary venue at which University academic leadership will review the proposed CCI. Following a presentation by the proposing members and a Q&A period, AAC+ will discuss the proposed CCI and hold a vote on whether to move the CCI forward. The Provost will

consider the determination of AAC+ and ultimately make a recommendation to the President, who has the authority to establish a CCI.

Initial Chartering

For new CCIs that meet with the President's approval, Graduate Studies and Research personnel will be responsible for routing the final charter for all necessary signatures. These include but may not be limited to the initial Director, the College Dean or other jurisdictional Administrator, the Provost, and the President. The CCI Director and the Department of Graduate Studies and Research are jointly responsible for keeping the fully executed charter on file. The CCI is considered to be established on the date specified in the signed charter, and will be considered active until the conclusion of the stated initial chartering period, the stated dissolution date, or the date of voluntary dissolution by the Director and jurisdictional Administrator, whichever comes first.

Once established, CCIs may request a Foundation account be set up to manage incoming revenue and operational expenses. The CCI Director is responsible for initiating the account request and identifying all personnel who should have signature authority on the account. At minimum, the CCI Director and the jurisdictional Administrator must be provided signature authority and account oversight access. Accounts may be requested by contacting the Business Operations Manager at CSUDH Foundation.

3.3 MAINTAINING GOOD STANDING

Annual Report

By June 30th of each year, each CCI will submit a report on its activities for the past fiscal year to the appropriate Administrator, who upon approving the report will forward it to the Department of Graduate Studies and Research. The Dean of Graduate Studies and Research in turn will review all reports, make note of any areas requiring further consideration, and ensure that all reports are submitted in a timely manner to the Provost. The Chair of the CCI's Advisory Board is to be consulted in the preparation of the report. The annual 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 Board.
3. Names of faculty members actively engaged in the research, scholarly, and creative activities of the CCI.
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 CCI's work.
5. Characterization of the extent of student and faculty participation in CCI activities from other CSU campuses or universities.

6. Characterization of the extent of participation in CCI activities by industry, government and non-governmental organizations.
7. List of publications developed by persons associated with the CCI, including books, journal articles, and reports and reprints issued under its own covers, showing author and title, and public repository information for publications subject to AB 2192 (effective January 1, 2019).
8. Financial report detailing:
 - a. Sources and amounts, on an annual basis, of all income including contracts and grants, gifts, University support, service agreements, and income from sale of publications and other services; and
 - b. Expenditures from all sources of support funds, distinguishing use of funds for administrative support, direct research, and other specified uses.
9. Description and amount of space currently occupied.
10. Any other information deemed relevant to CCI achievements.

One of the responsibilities of the jurisdictional Administrator is oversight of the CCI's operating budget, which includes compensating the University and/or CSUDH Foundation for any unapproved 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 any CCI that is not a self-supporting entity during the first three years of its establishment.

Following submission of the annual report, the Provost, in consultation with the Dean of Graduate Studies and Research, will determine whether the CCI is functioning according to CSUDH and CSU guidelines. Any recommendations will be provided in writing to the CCI Director and jurisdictional Administrator for possible amendments to the annual report. The amended report will be forwarded to the Provost no later than September 30th of the year in which the report is due.

Expanded Annual Review

It is recommended that any CCI with one or more of the following characteristics undergo an expanded in-person review with the Provost, Dean of Graduate Studies and Research, and its jurisdictional Administrator to review the CCI's annual report, operating budget, and any identified regulatory, risk and liability issues:

- Multiple funding streams
- An external location
- External partnerships
- Split accounts and employees between CSUDH (State) and CSUDH Foundation
- A retail activity
- International involvements
- Recent or proposed changes in name, leadership, or governance structure

- Involvement with the Mayor's or Governor's offices

Such an expanded review may additionally involve Administration and Finance, Sponsored Research and Programs, other College Deans, and Risk Management.

Continuation Review

Unless voluntarily dissolved, each CCI will be fully reviewed prior to the expiration of its charter at an interval of five years or less. If a CCI would like to extend beyond its currently chartered period, a formal proposal should be prepared that establishes the rationale for continuance, in terms of scholarly or scientific merit, self-sufficiency, and campus priorities. An updated charter reflecting the current leadership structure, Advisory Board (if applicable), and business plan for the subsequent chartering period should also be developed. No CCI may be continued without this periodic review. The review will consider the original goals and purpose of the CCI, its present functioning, future plans, and continuing development and will ascertain whether it is functioning in a manner that justifies the space and support it receives in the context of the University's needs and resources at the time. Its success in meeting previously established objectives and plans to meet new challenges will also be examined. The effectiveness of the CCI Director will likewise be reviewed at the same time as the CCI.

Continuation Review Process

The CCI continuation review process mirrors the process for initial chartering. Upon completion of the continuation proposal and its approval by the CCI's jurisdictional Administrator, said Administrator will forward the proposal and updated charter to the Dean of Graduate Studies and Research along with a synopsis profiling the mission or history, resources, staff, research and scholarly and creative activities, and administration of the CCI suitable for sharing with the campus community. The Dean of Graduate Studies and Research (or designee) will provide an initial review of the continuation proposal and charter and, at their discretion, may request revisions to either document before submitting the continuation request for campus-wide sharing.

The CCI continuation synopsis will be shared with the campus for a period of 10 working days during the academic year to solicit feedback about the CCI's performance. Members of the CSUDH community may contact the CCI Director(s) and/or Administrator for additional information, and may provide written comments to the Department of Graduate Studies and Research. The campus-wide sharing process is not intended to be a veto process, but rather an opportunity for comments and concerns, including objections, to be included and addressed in further cycles of review. Following the 10-day comment period, the Dean of Graduate Studies and Research will compile all feedback received during the campus-wide sharing process and place the continuation proposal on the agenda for the next available Academic Affairs Council (AAC+) meeting. As with the initial chartering process, AAC+ is the primary venue at which University academic leadership will review the CCI and determine whether to support re-chartering for an additional five-year period.

Prior to the AAC+ meeting, the continuation proposal, updated charter, prior year annual reports, comments received during campus-wide sharing, and any other relevant material will be circulated for review. CCI leadership – typically the Director, any Associate Director(s), and the jurisdictional Administrator – will be provided a time certain to summarize the activities of the CCI, respond to any issues raised during campus-wide sharing, and make the case for re-chartering. This presentation will be followed by a Q&A period during which any member of AAC+ can ask questions and/or raise concerns with the proposing members. Following the Q&A period, a vote will be held on whether to renew the CCI for an additional period of up to 5 years, or whether the CCI should expire at the end of its current charter period. Council members may elect to approve continuation for a shorter period of time with contingencies (e.g., a 1-year continuation with a requirement to become cash-flow positive during that year) if there are specific concerns that may be amenable to remediation.

Considerations of the Continuation Review

The continuation proposal and associated review process should consider the positive as well as negative aspects of the CCI's performance. University leadership may wish to recommend changes in organization and policy, or recommend dissolution of the CCI if it no longer seems to be fulfilling its purpose and functions or if it seems unable to maintain an adequate level of activity. Continuation for another five-year period must be carefully justified. As the reviewing committee, AAC+ 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 (e.g., space); a change in the mission of the unit; a merger of the unit with one or more units on campus; discontinuance; and any other suggestions for improvement in policy or activities.

Directors of CCIs are normally appointed for five-year terms, the appointment period coinciding with the review period. Reviewers should carefully consider the stewardship of the organization and comment on its quality. Although written performance evaluations of CCI Directors may not be available to all members of AAC+ given the need to preserve confidentiality of employee records, these evaluations should be considered by the jurisdictional Administrator and the Provost before a decision is made to reappoint or terminate a Director.

Upon receipt of the recommendation made by AAC+, the Provost will consider the comprehensive findings and recommend to the President to re-charter the CCI for an additional period of time not to exceed five years, or else to dissolve it. When the decision is made to continue the CCI, the Provost will also make a recommendation for the retention or termination of the Center Director. For continuing CCIs that meet with the President's approval, Graduate Studies and Research personnel will be responsible for routing the revised charter for all necessary signatures.

3.4 DISSOLUTION

Dissolution of the Center or Institute may be recommended at any time by the CCI Director or jurisdictional Administrator. Additionally, any reviewer may recommend dissolution of the CCI following the annual or five-year continuation review process. Any recommendation to dissolve an active CCI should receive a careful review by the CCI Director(s), Advisory Board, all relevant Dean(s) or Administrative Unit Directors, the Dean of Graduate Studies and Research, and the Provost. A written statement recommending the dissolution of the CCI, along with the justification and any relevant documentation, must be provided to the Dean of Graduate Studies and Research, who will share the recommendation with each of these parties and may convene a meeting to discuss the recommendation or request additional written feedback.

Following consideration of the dissolution request, if dissolution is the favored outcome by the jurisdictional Administrator, Dean of Graduate Studies and Research, and/or Provost, the Dean of Graduate Studies and Research will compile the recommendation document and all feedback received and place the proposed charter on the agenda for the next available AAC+ meeting. AAC+ will review the recommendation and supporting documents, discuss the proposed dissolution, and hold a vote on whether to support dissolution of the CCI. The Provost will consider the determination of AAC+ and ultimately make the recommendation to the President to disestablish the CCI or allow it to continue.

CCIs whose dissolution coincides with their continuation review period shall be permitted to continue until the expiration date of their active charter, and disestablished thereafter. For CCIs that are dissolved during their active charter period, the President will issue a letter formally disestablishing the CCI. Upon dissolution, the CCI name will be removed from the Directory of Campus Centers and Institutes maintained by the Department of Graduate Studies and Research.

3.5 ACCESS TO THE OFFICIAL RECORD

The Dean of Graduate Studies and Research will make available to the Office of the Chancellor a list of all CSUDH chartered CCIs, including the name and purpose of each entity. This list will be updated within 30 days of the chartering, renewal, or dissolution of a CCI.

4.0 REFERENCE

- CSU Centers and Institutes Guidelines

Approved:



Thomas A. Parham, Ph.D.
President

Date: 2/2/2022

Policy Information

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Policy Owner	Dr. Sheree Schrager
Policy Approver(s)	Dr. Thomas Parham
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Review/Approval History

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