POLICY GUIDELINES FOR THE FORMATION AND REVIEW OF INSTITUTES AND CENTERS

1. **PREAMBLE:**

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 multi-disciplinary 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.

2. **DEFINITIONS:**

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 non-academic 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.A. Functions of Ancillary Units may include, but are not limited to:

- conducting opinion polls and focus groups
- conducting basic research
- data gathering
- developing policy studies and analyses
- disseminating research findings
- forming a group for submission of grants proposal(s) for support of professional activities
- providing a link between the University and outside organizations
- sponsoring conferences
- sponsoring, coordinating and promoting the research of faculty and students from
several departments or colleges.

2.B. Ancillary Units shall not offer courses for University credit; however, courses may be offered in conjunction with a department or college.

2.C. 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.

2.D. 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.

2.D.1. Developmental Status: An Ancillary Unit with “developmental” status is a new unit which will be reviewed at the end of 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.

2.D.2. 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 Provost/VPAA.

2.D.3. Probationary Status: An Ancillary Unit that fails to submit an annual report will be considered to be on “probationary” status. The Unit, its reporting person, and the designee of the Provost/VPAA will be notified of its probationary status by the Faculty Senate Office and the Unit will be given 60 days after notification to submit an annual report. Failure to submit the annual report within this time will lead to placement of the Ancillary Unit on an “inactive” status.

2.D.4. Inactive Status: An “inactive” Unit may not seek funding or function as an Ancillary Unit until it has undergone a successful review and been reinstated by the Provost/VPAA. To regain “active” status, the Unit must submit required documents (which may include, but are not limited to, review documents specified in 6.D., below) and a written request for reinstatement to the Unit’s reporting person, which will forward the documents along with his/her comments to the Faculty Senate and Provost/VPAA. The EPRC 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.

2.D.5. 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.
3. ORGANIZATION AND GENERAL EXPECTATIONS OF ANCILLARY UNITS

3.A. 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.

3.B. The Ancillary Unit may choose the leadership structure which best suites the mission of the Unit, as long as it clearly delineates who is responsible and accountable for activities of the Unit (e.g. a single director, multiple co-directors an Executive Director, or other structure with at least on person who is identified as “responsible” for the governance of the Ancillary Unit). The responsible person – who hereafter is referred to as “director(s)” 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(s) should be a tenure-track faculty member.

3.C. Ancillary Units with “developmental” status should consider including an Advisory Board composed of tenure-track faculty, the Director (or co-Directors) and where useful, an appropriate number of community members. Ancillary Units without a faculty director must have an advisory board with at least 2 faculty representatives appointed by the Executive Committee of the Faculty Senate. The members of 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.

3.D. 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.

3.E. 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 Director of the CSUSB’s Foundation 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.

3.F. All Active Ancillary Units shall be listed in the Campus Directory along with the name(s) and phone number(s) of the Director (or co-Directors), staff, and the address of the office where the Ancillary Unit is primarily housed.
4. APPROVAL PROCESS FOR INSTITUTES:

4.A. Proposals for the formation of an Ancillary Unit shall employ the following procedures:

4.A.1 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.

4.A.2 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:

4.A.2.a. the proposed organizational and governance structure (including an organizational chart and signature of all individuals involved in the Ancillary Unit); and

4.A.2.b. a clear statement of who is responsible for reporting the Unit’s activities (e.g. Provost/VPAA or designee, Associate Provost of Research and Sponsored Programs, College Dean, etc.).

4.A.3. A statement of any anticipated relationships with public or private agencies or organizations.

4.A.4. A description of the membership, roles, and responsibilities of the Advisory Board. Any potential conflicts of interest should be identified.

4.A.5. 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.

4.A.6. 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.

4.A.7. 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.

4.A.8. A statement of all possible sources of anticipated funding (internal and external).

4.A.9. 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 EPRC (Appendix A).

4.B. A proposal for an Ancillary Unit shall be submitted to the Faculty Senate Executive Committee, which will refer it to the EPRC 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 EPRC 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 e-mail 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.

4.C. 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 years of operation (see section 6 for the review process). The Office of the Provost/VPAA will maintain a list of Ancillary Units, including contact information for Director(s) of the Unit.

4.D. 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.

4.E. Upon approval, the Ancillary Unit may seek funding from the University (beyond any funds designed in section 3D) 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.

5. ANNUAL REPORTS:

By October 30th of each year, each Ancillary Unit will submit an annual report of activities for the previous academic year to the Unit’s reporting person. A draft copy of the annual report without attachments will also be submitted to the Faculty Senate Office as a notification that a report was submitted to the Unit’s reporting person. The Unit’s reporting person will forward the Unit’s annual report with his/her recommendations to Faculty Senate Office.

The Ancillary Unit will provide the following to its reporting person:
1. a hard copy of the report with relevant appendices, and
2. an electronic version of the report and appendices.
5.A. The annual reports shall include information regarding the Ancillary Unit’s goals and activities (including a list of accomplishments, total amount of external funds raised, role played by CSUSB faculty and students, units of assigned time, governance and reporting structure and use of the University’s internal resources. See the template in Appendix A for the format of the report.

5.B. The Faculty Senate Office will forward an electronic copy of the report, appendices, and recommendations from the Unit’s reporting person to the Chairs of the EPRC and Faculty Senate.

5.C. The annual report will be reviewed by the EPRC by the end of April. The Committee will provide a summary of its findings along with any recommendations as to the Unit’s continued “active” status to the following offices:
5.C.1. Provost/VPAA;
5.C.2. Unit’s reporting person as indicated in the organization chart of the Unit;
5.C.3. Relevant College Dean(s) or designee;
5.C.4. Director (or Co-Directors) of the Ancillary Unit;
5.C.5. Sponsored Programs for reporting to the Chancellor’s Office;
5.C.6. Executive Committee of the Faculty Senate to be placed on the Faculty Senate Agenda as an information item; and
5.C.7. President

5.D. Failure to submit an annual report will lead to the Ancillary Unit being placed on “probationary” status. Written notification of placement on “probationary” status will be sent to the Unit’s director(s) and its reporting person. Ancillary Units thus placed on “probationary” status will have 60 days from the time of notification to file the missing reports as indicated in 2.D.3. Further non-compliance on the part of a “probationary” Ancillary Unit will result in the unit being placed on “inactive” status and then “termination” status (refer to the “definitions” under section 2). In order to regain an “active” status, the Ancillary Unit must request a full review and undergo the review process specified in Section 6, below.

5.E. A Director of an Ancillary Unit may be removed by the Provost/VPAA for failing to respond within 60 days after notice of serious deficiencies identified by the EPRC in the review of the Unit’s annual report. Furthermore, a Director of an Ancillary Unit may be removed for serious breaches of professional conduct. If the Director chooses to appeal the decision, s/he should provide a written request for a review from the President and the Executive Committee of the Faculty Senate. The Faculty Senate Executive Committee will appoint an independent committee consisting of three tenured faculty (at least one of whom has experience with Ancillary Units) and one administrator (appointed by the President). The Appeal Committee will conduct an investigation and report its findings and recommendations to the Executive Committee of the Faculty Senate within 30 days. The findings/recommendations will be submitted to the President,
who shall make the final decision regarding removal.

6. ANCILLARY UNIT REVIEW PROCESS:

6.A. A thorough review process is required for an Ancillary Unit with “developmental” status in the Fall quarter after its third complete academic year. In addition, the Provost/VPAA may request that the Executive Committee of the Faculty Senate initiate the review process for an “active” Ancillary Unit at the start of Winter quarter.

6.B. The Executive Committee of the Faculty Senate shall appoint members of an Ancillary Unit Review Committee by November 30th for each Ancillary Unit to be reviewed. Ancillary Unit Review Committee for each Unit will elect a Chair from its membership, which consists of the following:

6.B.1. One faculty representative from the EPRC;
6.B.2. A community/non-University reviewer for each Ancillary Unit to be selected by the Executive Committee of the Faculty Senate from a list submitted by the Ancillary Unit with recommendation by the Provost/VPAA;
6.B.3. The Associate Provost for Research or designee; and
6.B.4. Two faculty members, with relevant expertise, nominated by faculty and selected by the Executive Committee of the Faculty Senate

6.C. The Chair of the Review Committee for each Ancillary Unit undergoing review shall seek to obtain information from all sources which might have been impacted by the activities of the Ancillary Unit (e.g. Foundation, Director of Procurement and Support Services, College Dean(s), Department Chair(s), etc.).

6.D. For the review of the Ancillary Unit, the Director(s) of the unit shall provide the following documentations to its Ancillary Unit Review Committee:

6.D.1. an original or revised proposal for the Ancillary Unit;
6.D.2. copies of the annual reports since the last review of the Ancillary Unit;
6.D.3. a short financial statement detailing expenditure categories for the financial supported provided by the University (see Appendix A);
6.D.4. a copy of the organizational governance structure information provided in the original proposal for the Ancillary Unit, including a description of any adaptation made to that plan;
6.D.5. a description of space and utilization of equipment provided by the University;
6.D.6. a statement of number of units provided as assigned time to the faculty on behalf of the Unit and a brief description of the impact assigned time has on the faculty’s department and/or college, (the impact is to assess how the assigned time affects the department to have the faculty participate in activities of the Ancillary Unit);
6.D.7. documentation of faculty and students involvement in Unit’s activities; and
6.E. The Ancillary Unit Review Committee will review the material provided by the Ancillary Units and other entities. The Committee will evaluate the Unit using the following criteria:

6.E.1. the success of the Ancillary Unit in meeting the goals and objectives outlined in the original approved proposal;
6.E.2. the effective use of all internal University support;
6.E.3. the success of obtaining external support and the use of that support;
6.E.4. the operation of an appropriate and approved governance mechanism;
6.E.5. steps taken to provide the opportunities for faculty participation in the activities and governance of the Unit; and
6.E.6. steps taken to provide the opportunities for student participation in the activities and/or governance of the Unit.

6.F. The report of the Ancillary Unit Review Committee along with any comments or recommendations, shall be submitted, as completed, to all personnel cited in section 5.C before the end of the academic year. The Senate shall receive the reports as information items. The Provost/VPAA (or designee) shall review the report and make recommendation 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, who shall make the final decision.

7. PHASE IN OF REVISED POLICY AND NEW REVIEW PROCESS

A transitional period is necessary to phase in the revised policy since it includes significant changes. By October 2007, the Provost/VPAA (or designee) shall provide to the Faculty Senate a timeline for the transition to include:

7.A. A list of existing Ancillary Units,

7.B. A timeline for the review and renewal of existing Ancillary Units. It is expected that it may take two to three years to complete the renewal process for existing Ancillary Units. In order to balance the workload of the appropriate committees, the reviews will need to be staggered over time. In addition, adequate time must be provided to allow Ancillary Units to modify their proposals, as necessary.

7.C. A process and timeline to allow Ancillary Units to change their titles, where useful.

7.D. A process and timeline to allow Ancillary Units to make the necessary revisions to their organizational/governance structure.

While the new Ancillary Unit Policy is being phased in, all existing Ancillary Units in compliance with submission of annual reports will be considered to be “active.” It is expected that an existing Ancillary Unit not in compliance with this policy will make changes necessary to
be in compliance by the 2008-09 annual report cycle.
FSD87-17.R3

**Initial justifications**

1. President Karnig asked EPRC to review the current policy on Institutes and Centers. Specifically, he asked the committee to:
   A. Consider whether the distinction between “Institutes” and “Centers” was useful,
   B. To evaluate the effectiveness of the three-year review cycle, and
   C. To consider whether the different review process for “Institutes” and “Centers” was useful.

This revised policy addresses these concerns by:
   a. Eliminating the administrative distinction between “Institutes” and “Centers” and re-classifying all of these organizations as “Ancillary Units”
   b. Distinguishing the different status of an Ancillary Unit: developmental, active, inactive, or probationary, while also creating a means to terminate an Ancillary Unit. The latter brings the policy into compliance with Executive Order 751.
   c. Changing the interval between reviews to depend upon the status of the Ancillary Unit: “developmental” Ancillary Units will undergo closer scrutiny (3 years) while “active” Ancillary Units will be reviewed as needed.

2. The current policy is sufficiently vague as to allow for differing interpretations of the procedures. The revised policy gives more specific information regarding:
   A. The definitions of the status of Ancillary Units;
   B. The duties and membership of Advisory Boards to include faculty and community members;
   D. Options for reporting structure of the Ancillary Unit;
   E. The content of the proposal for establishment of a new Ancillary Unit;
   F. The approval process of a new Ancillary Unit;
   G. The content, form, and due date for the annual report;
   H. The composition of the Ancillary Unit Review committee;
   I. The review processes;
   J. Inclusion of a budgetary guideline for assessment of University support and budgetary impact of the Ancillary Unit on the University.

3. The annual report for Ancillary Units provides transparency for the Unit’s operations, activities and governance. The report format provides the opportunity for the Unit to report their budget including internal/University support, external support, and plans for future support; the governance structure as well as possible student and faculty participation in the Unit’s operations. In addition, the Ancillary Unit will submit its annual reports to its Unit’s reporting person for comments prior to the review by Faculty Senate so that the reporting person shall be accountable to the Unit’s activities.

4. Budgetary information of internal or in-kind support is to provide the Faculty Senate information of how the internal support is being used by the Ancillary Unit. The cost of reimbursement to the department for assigned time may affect its ability to hire a lecturer
without additional cost to the department. Also the impact of faculty given assigned time to perform the activities of the Ancillary Unit’s activities may also affect the workload of the faculty remaining in the department. Therefore, it would be critical that any impact on the department should be addressed.

5. A transition period to allow current Ancillary Units to (a) make the necessary changes, (b) be reviewed, and (c) have their status as “developmental,” “probationary,” “active,” or “inactive” determined.

Appendix A
PERFORMANCE REVIEW REPORT FORMAT
CSUSB Ancillary Units
Educational Policy and Resources Committee

Name of the Ancillary Unit: ________________________________

Director(s): ____________________________________________

Reporting Unit: ____________________

Annual Report for Academic Years: ________________________

I. GOALS AND ACTIVITIES

1. State the goals and objectives of the Ancillary Unit as presented in its original proposal.

2. Have these goals or objectives changed? Yes ____ No ____
   If yes, state the current goals and objectives, and indicate why the changes were made.

3. Provide a list of the activities/projects/accomplishments completed during the reporting year. For each, reference the amount of any funding received (including number of courses as assigned time allocated for Ancillary Unit’s activities), the source of that funding (e.g. university, grant, contract, etc.), and the name(s) and affiliation(s) of faculty/staff/students involved with each. A bottom-line statement should be included as to the total amount of external funds raised (if any).

4. Describe the steps taken to provide the opportunities for faculty and student participation in the activities and/or governance of the Unit.

5. Describe the roles faculty and students play in the activities and/or governance of the Unit.
II. GOVERNANCE AND REPORTING

1. Describe the Ancillary Unit’s governance mechanism. Add a diagram if needed.

2. List the current members of the Advisory Board and their affiliations.

3. Discuss how successful the governance mechanism has been in accomplishing the major objectives of the Ancillary Unit.

III. USE OF UNIVERSITY’S INTERNAL RESOURCES

1. Please complete the following budget report worksheet for the year of the report.

   **Amount of internal funds received:** $ _________________

   How were the internal funds used? List major categories of expenditures of internal funds:

   a. Salaries $ _________________
   b. Faculty assigned time $ _________________
   c. Telephone/fax $ _________________
   d. Office Supplies $ _________________
   e. Other (explain) $ _________________
      $ _________________
      $ _________________
      $ _________________

   **Total of internal fund expenditures:** $ _________________

2. Project internal funding needed for the coming reporting year.

3. If the Ancillary Unit is receiving internal funding, please describe plans to generate external funding to supplant the need for internal funding.

4. List University office space used (location). ________ sq feet allocated to the Ancillary Unit.

5. List other University resources used (if any).

IV. APPENDICES

Attach any relevant documentation that would help in the review of the information presented above.