



CAL STATE EAST BAY

California State University, East Bay Procedures for the Establishment of Campus Centers and Institutes (C&Is)

PURPOSE

In accordance with [California State University \(CSU\)](#), university, and state policies, this procedure supports the policy and guidelines for the formation, operation, monitoring, review, and dissolution of Centers and Institutes (C&Is) at California State University, East Bay (CSUEB).

SCOPE

Centers and Institutes (C&Is or 'Centers') are established to support the CSU mission with intent as follows:

- Provide opportunities for professional development of faculty and staff through teaching, research, scholarly and creative activities, and public service.
- Foster and facilitate interdisciplinary efforts among disciplines, departments and across colleges.
- Provide a clearinghouse for information of interest to professionals, and conduct workshops and conferences for continuing education.
- Enhance the curriculum by facilitating and supplementing the academic experience of students.
- Other functions as stated in the organizational document, and approved following the process described below.

The representative of a prospective center shall develop a proposal, also known as a charter application, in consultation with relevant department chair(s) and dean(s) and other appropriate administrators as determined by the nature of the proposed center.

Charter and Charter renewal applications are to be submitted using the University's designated system (e.g., InfoReady), and will be routed to appropriate administrators and reviewers.

Reviewers and approvers may include, but are not limited to, relevant department chair(s), dean(s), the Associate Vice President ORSP (AVP ORSP) also referred to as the Institutional Official (IO), Committee on Research (CR), Executive Committee (ExCom), Academic Senate (Senate), Provost, and President, in that order.

PROCEDURES

I. Charter Proposal (Charter Application) for Formation or Renewal of the C&I

Representatives of the prospective center shall develop a charter or charter renewal application in consultation with relevant departments, department chair(s), college dean(s) and other appropriate administrators. Applications shall follow these procedures, maintained by the Office of Research and Sponsored Programs.

An application to form a center must at a minimum contain the following:

1. **Name:** The name should be descriptive of the center or institute’s core activities. Choose a center or institute name that will not impinge on the territory of an existing center or institute. Existing centers and institutes are listed at [Centers and Institutes at CSUEB](#).
2. **Charter Termination Date:** A center’s charter/renewal application must contain a termination date that cannot extend beyond June 30 of the sixth year following its establishment or most recent renewal.
3. **Letter of Endorsement** from the appropriate administrator must be attached (e.g., Dean, Provost, or other official).
4. **Mission and Purpose:**
 - a. What is the purpose of the center? If the center mission statement has already been created, provide the mission statement, otherwise describe the proposed center’s intended mission in one or two paragraphs. Explicitly include how the center’s mission will support or demonstrate commitment to justice, equity, diversity and inclusion (JEDI).
 - b. How will the center impact the university community positively?
 - c. How does the center mission support the mission of Cal State East Bay?
 - d. List the anticipated center activities, including intended community engagement activities
 - e. List similar centers already existing in the region, and describe how the proposed center will differ
 - f. Describe how the center will meet an ongoing commitment to diversity in its activities and appointments.
 - g. For Charter Renewal Applications, the original charter must be updated to reflect any mission creep of activities or changes being requested to the Center’s approved mission, activities, leadership, or clients.
5. **Planned Leadership, Staffing, and Structure of the Center:**
 - a. Describe the directorship or lead role that will be responsible for the activities of the center and other key positions, including, but not limited to the following:
 - i. Detailed statement of the method for selection and evaluation of the director
 - ii. Proposed initial acting director, if any
 - b. Describe the proposed organizational structure of the center. Include the following:
 - i. Using the table format provided below (*the current content in the table is an example*), provide the anticipated job or role titles, role duties for each staffed role; and if a specific employee is being recommended for a role, then provide the person’s name as well.

Role Title	Role Duties	Staff Name if Known
Director	Lead center activities, outreach, fiscal management,.....	TBD
Center Coordinator	Provide support to the Director, coordinate, schedule, organize, and manage center outreach events.....	TBD

Student Assistant	Assist the Director and other staff with all activities.....	TBD
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- ii. An organizational chart displaying the planned reporting structure.
 - iii. To whom will this center or institute and its director report (usually a college dean)
- c. Describe faculty and student involvement, other than planned personnel, including but not limited to the following:
- i. Descriptions of how students and faculty will participate or be affiliated with the center (for example, as clients, service providers, trainers, mentors, advisory board members, resource associates).
 - ii. How faculty and students will be selected for participation and removed from participation in the various planned affiliations and activities.
 - iii. Names of proposed faculty to be involved initially, if known (table format provided in 5b above may be used).
- d. A center advisory board may be established consisting of members internal or external to the university. An advisory board differs from a governing board or board of directors in that its role is not legally binding and performs in an advisory and supporting capacity only. The advisory board may hear presentations from the center director, invited staff, or stakeholders and make recommendations and provide feedback regarding center operations, such as, for example, the center’s strategic planning, fiscal sustainability, planned activities, outreach, and services offered. Advisory board members may assist with community outreach and fundraising guidance. In general, the advisory board would be a resource group to which the director can bring topics for discussion and recommendation.
- Describe any advisory boards planned. Include the following:
- i. composition of adequate faculty representation
 - ii. student representation
 - iii. community representation
 - iv. a description of how the advisory board will be selected
 - v. proposed charter advisory board members, if any have been identified as potential candidates (the table format described in section 5b above may be used.)
 - vi. proposed meeting frequency
- e. A statement describing planned actions that would demonstrate the center’s commitment to diversity in its activities and appointments

6. Describe the resources required for the center

- a. By state and CSU policy the CSU and all its campuses are required to ensure that *“costs incurred by the CSU Operating Fund (see Section III: CSU Fund Categories and Types) for services, products, and facilities provided to other CSU funds and to Auxiliary Organizations are properly and consistently recovered with cash and/or a documented exchange of value.”* Over time centers must be able to support themselves sustainably (for example, through donations, grants, fees for services provided).

Describe resources required for the creation and sustainable functioning of the center (space

and funding needs), including, but not limited to the following. Note: This Section 6 should reflect a financial plan for sustainability in 1-3 yrs.

- i. Where the center will be located.
- ii. How the space will be allocated.
- iii. Special equipment or permits required, if any.
- iv. Space approvals needed or obtained.
- v. Secured or proposed sources of funds, including a description of the manner in which funds will be sought, accounted for, and managed.
- vi. Include a description of how any surplus funds will be expended (for example, surplus revenue will be used for improvement of center services and training of center staff)
- vii. Using the C&I budget template provided, attach a projected budget, aligned with 6.a.v. and 6.a.vi above, that clearly shows from where funds will be received, as well as line item categories of planned expenses.

7. Business Plan and Operating Procedures

- a. Include an outline of or detailed business plan that specifies the following:
 - i. Targeted audience, clients, and stakeholders
 - ii. Outreach and marketing strategy
 - iii. Summary of plans for fiscal and operational sustainability
 - iv. Describe the [training](#) that the center director, the center leadership, and any other staff, faculty, administrators, and students affiliated with the center will receive (1 - 4 below, for example).
 1. [Justice, equity, diversity and inclusion \(JEDI\)](#) training, as required by CSU and campus policy, or Academic Senate recommendation.
 2. [Conflict of Interest/Ethics](#) training
 3. [Responsible and Ethical Conduct of Research \(RECR\)](#) training
 4. Other as required or prescribed by the nature of the center and related training or license requirements.
- b. Include an outline of center operating procedures that have been or will be developed (i - ix below, for example).
 - i. Facilities operation (site hours, opening and closing procedures, schedule staffing, security)
 - ii. Staffing (fte, job titles, internal hiring procedures)
 - iii. Client or user access, application process, intake processes,
 - iv. Data management, records management
 - v. Center funds management
 - vi. Volunteer coordination
 - vii. Event planning
 - viii. Activities
 - ix. Risk management (e.g., controversial topics, security concerns, data confidentiality)

8. For Charter Renewal applications, also attached a copy of the **Center's most recent Annual Report**.

See also the *Charter Application and Charter Renewal Checklist* in the next section, as well as [instructions](#) and templates provided on the university's submittal system (e.g., InfoReady).

Centers and Institutes
Charter Application / Charter Renewal Checklist

The items on this checklist are required to ensure that faculty and administrators can make a thoroughly informed decision regarding the approval of center and institute charter applications and charter renewal applications. Please review these guidelines prior to application submission. The checklist will be used by the Committee on Research to review new and renewal charter applications for Centers and Institutes.

- Center Name (descriptive of the center or institute's core activities).
- Charter Termination Date (Cannot extend beyond June 30 of the sixth year following the center approval or last renewal date).
- Letter of endorsement from the appropriate administrator (Dean, Provost, Chair, or other official)
- A statement of the center mission and purpose
- Description of how the center supports the mission of Cal State East Bay
 - Description of how the center will impact the university community positively
 - Description of how the center mission supports the mission of Cal State East Bay
 - List of anticipated center activities, including intended community engagement activities
 - List similar centers already existing in the region
 - Description of how the proposed center will differ from similar centers already existing in the region
 - Description of how the center will meet an ongoing commitment to diversity in its activities and appointments
- Description of the directorship or lead role and other key positions
 - Detailed statement of the method for selection and evaluation of the director.
 - Proposed initial acting director, if any
- Description of the proposed organizational structure of the center
 - Table of anticipated job or role titles, role duties, and specific employee name(s) if known
 - Organizational chart with the planned reporting structure
 - Title of university administrator to whom the direct will report
- Description of faculty and student involvement, other than planned personnel
 - Descriptions of how students and faculty will participate or be affiliated with the center
 - Descriptions of faculty and students will be selected for participation and removed from participation
 - Names of proposed faculty to be involved initially, if known (table format may be used)
- Description of advisory boards planned
 - Description of the composition of adequate faculty representation

- Description of student representation
- Description of community representation
- Description of how the advisory board will be selected
- Proposed charter advisory board members
- Proposed meeting frequency

- Statement of planned actions that demonstrate center's commitment to diversity in activities and appointments

- Description of resources required for the creation and sustainable functioning of the center
 - Center location
 - Space allocation
 - Special equipment or permits required
 - Space approvals needed or obtained
 - Description of secured or proposed sources of funds, funding plans, accounting, and fund management plans
 - Description of how surplus funds will be expended
 - Budget template is attached clearly showing funding sources and line item categories of planned expenses.
 - Financial plans reflect sustainability in 1-3 yrs

- Outline of or complete detailed business plan
 - Targeted audience, clients, and stakeholders
 - Outreach and marketing strategy
 - Summary of plans for fiscal and operational sustainability
 - Describe the training that the center director, the center leadership, and any other staff, faculty, administrators, and students affiliated with the center will receive
 - [Justice, equity, diversity and inclusion \(JEDI\)](#) training
 - [Conflict of Interest/Ethics](#) training
 - [Responsible and Ethical Conduct of Research \(RECR\)](#) training
 - Other training or license required or prescribed by the nature of the center.
 - Outline of center operating procedures that have or will be developed

- Outline of Center Operating Procedures that have or will be developed (*Check all that apply*)
 - Facilities operation (site hours, opening and closing procedures, schedule staffing, security)
 - Staffing (FTE, job titles, internal hiring procedures)
 - Client or user access, application process, intake processes,
 - Data management, records management
 - Center funds management
 - Volunteer coordination
 - Event planning
 - Activities
 - Risk management (e.g., controversial topics, security concerns, data confidentiality)
 - Other _____

- Most Recent Annual Report (for Charter Renewal Applications only)

REVIEW PROCEDURES

1. **Concurrence of Department or Division Administrators:** When Faculty and administrators submit their Charter or Charter Renewal Applications using the university submittal system (e.g., InfoReady), their applications will first be routed to their involved department chair(s) or appropriate administrator(s), and college dean(s) for initial review and concurrence.
2. **Quality Assurance:** Applications with concurrence of the chair, and dean or other appropriate departmental administrators will next go to the *Compliance and Research Committee Coordinator* for initial review quality assurance and completion review.
 - a. Charter or Charter Renewal Applications found to be missing elements required as described in the policy or procedures will be returned to the submitter with a request for the additional information. This may occur at any time during the review process.
3. **Institutional Official Review:** Charter and Charter Renewal Applications thought to be complete will next route to the Associate Vice President of the Office of Research and Sponsored Programs (AVP of ORSP) for pre-committee review review.
 - a. Charter and Charter Renewal Applications for which clarification or additional information is needed will be returned to the center representative.
 - b. Charter and Charter Renewal Applications found by the IO to be complete and ready for committee review will be provided to the Committee on Research (CR) Chair for placement on the agenda as an action item for review, discussion, and voting at the next CR meeting.
4. **Committee on Research Review:** The Committee on Research will add the Charter or Charter Renewal application to the agenda for their next scheduled meeting and will invite the center representatives to provide a short presentation to the Committee.
 - a. The CR will review and vote:
 - i. to refer the rejected application back to the center representative with questions and recommendations for revision (*see CR Comment and Response Template at the end of the REVIEW PROCEDURES section*). The AVP ORSP or designee(s) will continue to provide guidance to the proposing team of faculty/administrators in an attempt to facilitate the application process and, if feasible, the ultimate submission of a revised application.
 - or
 - ii. to approve recommendation of the application and forward it to the Executive Committee of the Academic Senate for consideration.
5. **Executive Committee Review:** The Executive Committee will add the Charter or Charter Renewal application to the agenda for their next scheduled meeting and will invite the CR Chair and the center representatives of the proposed center to provide a short presentation to ExCom.
 - a. The ExCom will review and, without making amendments to the application, will vote:
 - i. to reject and refer the application back to the CR with comments and or recommendations to provide to the center representatives through the AVP ORSP or designee(s).
 - or

- ii. to place the application on the next Academic Senate agenda for review and vote in support of the charter or charter renewal application being forwarded to the President with Academic Senate recommendation to approve.

6. Academic Senate Review: The Academic Senate will vote to follow or amend the agenda provided by the Executive Committee.

- a. The Senate will review and, without making amendments to the application, will vote:
 - i. to reject and refer the application back to the Executive Committee for return to CR with comments and or recommendations to provide to the center representatives through the AVP ORSP or designee(s).
 - or
 - ii. to recommend that the President approve the application by adding it to the resolution of items forwarded to the President for approval. The President has final authority of approval for all Centers and Institutes. The President may consult with other personnel or department representatives prior to approval.

Note: Charter applications approved for recommendation by the Academic Senate are also considered to be reviewed and approved by the Provost and Vice President of Academic Affairs, who is a member of both ExCom and the Academic Senate.

7. Presidential Review: The University President shall approve or deny the charter or charter renewal application and notify the Academic Senate of their decision in writing.

- a. Should a charter or charter renewal application be denied, a detailed summary of the reason(s) shall be provided to the Academic Senate for referral back to ExCom for return to CR with comments and or recommendations to provide to the center representatives through the AVP ORSP or designee(s).

8. Resubmissions of revised applications shall be permitted at any time through the procedures above. When a Charter or Charter Renewal Application is returned for additional information or edits, the information or further edits being requested will be clearly described in a [summary document](#) with instructions for completing the revisions, and provided to the Center Representative(s).

9. When the AVP ORSP is notified that a new Center or Institute Charter is approved, then the AVP ORSP or designee will oversee documentation and actions, including but not limited to:

- a. Initiate an approval letter signed by the President that will be sent to the C & I representative.
- b. Update the Centers and Institutes webpage. A center's charter approval will contain a termination date that cannot extend beyond June 30 of the sixth year following its establishment or most recent renewal.
- c. Notify the Chancellor's Office of the [new Cal State East Bay Center or Institute](#).
- d. Respond to the Chancellor's Office Annual Request for Center and Institute statuses and updates.
- e. Maintain copies of the center charter proposal, charter approval, annual reports, charter renewal applications.
- f. Maintain the related submittal system(s) (e.g., InfoReady)
- g. Maintain a tracking spreadsheet of the centers including the following:
 - i. Center Name
 - ii. Acronym Short Name

- iii. Director
- iv. Link to the Center Website
- v. Keyword(s) denoting Field of Study
- vi. Category
- vii. Purpose
- viii. Dated Original Charter Proposal was Submitted
- ix. Date the Annual report was Submitted
- x. Expiration Date

CR Comment and Response Template

Response to C&I Charter Proposal or Renewal Application

Dear Dr. XX,
Thank you for XXXX. We appreciate the time and effort that you dedicated XXX.

CR reviewed your application and have made the suggestions listed below in **Blue**. Kindly provide a point-by-point response to CR's comments and concerns. Include page numbers to note where text has been added to the original renewal charter application. Please add any new text to the application in **RED** to the original document so that CR can clearly see where you have made the modifications requested.

CR's Comments to the C&I Director:

CR's Comment #1:
C&I Director's Response to comment #1:

CR's Comment #2:
C&I Director's Response to comment #2:

CR's Comment #3:
C&I Director's Response to comment #3:

II. Center and Institute Reporting Requirements and Deadlines

1. **Annual Report:** [CSU Policy](#) requires annual reporting from centers and institutes.
 - a. Annual Reports are due no later than September 30 each year, but may be submitted earlier.
 - i. Reports should be prepared beginning any time after June 30 each year (close of the fiscal year).
 - ii. Reports will be accepted between August 1 - September 30.
 - iii. Due date extension beyond September 30 may be requested with justification, but all Center and Institute Annual Reports must be submitted no later than December 31 each year.
 - iv. Absence of report, or application for extension, will cause interruption to the functioning of the CCI, and will be reflected in the performance of the CCI Director.
 - b. Annual Reports are to be submitted to the university by the Center Director or designee using the submittal system (e.g., InfoReady). The information provided as requested on the Annual Report form should be thorough, but concise, and include a summary of activities, clients,

community engagement, publications, and other outcomes, as well as a Fiscal Report for the prior fiscal year.

- c. Submitted Annual Reports will be reviewed for completeness by the AVP ORSP, their designees, or staff. Additional information may be requested.
 - i. Copies of the Annual Report will be copied to the appropriate department chairs, the administrator in the direct line of authority above the director, and the AVP of ORSP.
 - ii. The Center Director should provide copies of the annual report to the center advisory board, if any.

2. Charter Renewal Application Deadline:

- a. To enable adequate time for the University Charter Renewal review processes, renewal charter applications will be accepted by ORSP between August 1 - September 1 of the fifth year following its establishment or most recent renewal.
- b. Once a Center's Charter expires without an approved Charter Renewal, the Center is no longer recognized as a CSU center, so must cease activities that include representing itself as a University Center or Institute. Funded research by individual faculty members may continue, for example, but would no longer be considered under the activities of a Center or Institute having an expired charter.
- c. Charter Renewal Applications must be submitted as described in *Review Procedures* (above) and no later than September 1 of the 5th year following its establishment or most recent renewal.
 - i. As described above under Section I. *Charter Proposal (Charter Application) for Formation/Renewal of the C&I*, the Charter Renewal Application should be concise, but provide all the detailed information requested from the application.
 - ii. As described under Section I, a copy of the most recent Center Annual Report must be submitted along with the Charter Renewal Application.

3. Other Center and Institute Review Types or Actions:

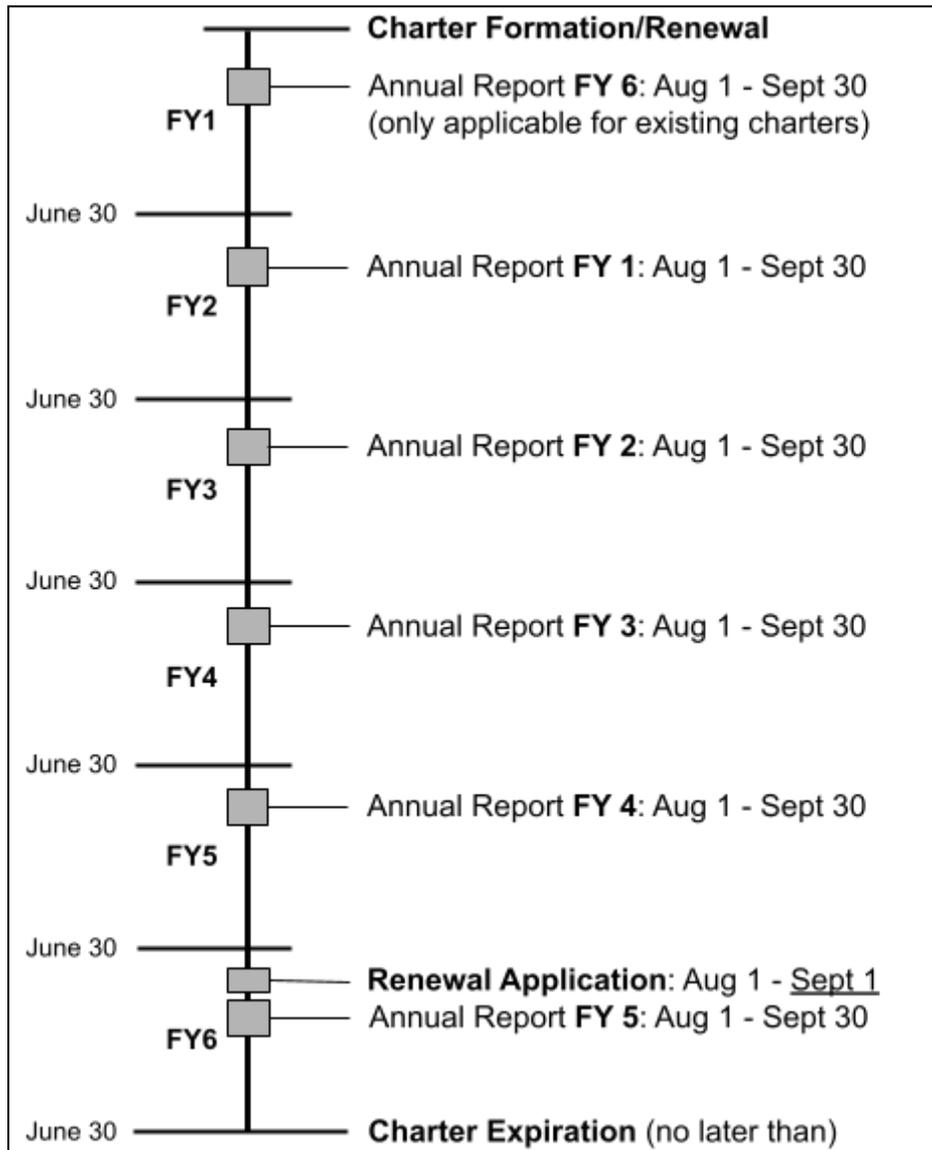
- a. **Requested Review:** The Center Director, relevant College Dean(s), IO, Provost, or President may request an early report from or review of the Center at any time.
 - i. Ways in which an early report or review may be requested include, but are not limited to the following:
 1. Request a mid-year report (quarter, semi-, or otherwise) in Annual Report format using the Annual Report submittal system at any time. Copies of Early Reports will be reviewed and distributed as are Annual Reports, but Annual Reports will still be due at the end of the Fiscal Year.
 2. Request that the Charter Renewal Application be submitted earlier than by June 30 of the 5th year after last Charter approval. After a requested review by early Charter Application is completed, the C&I shall restart the regular review period (i.e., the next Charter Renewal Application is due by June of the 5th year after early Charter Renewal approval.).
- b. **Charter Modification with Expedited Review:** If, at any time the Center Director, Relevant College Dean, or their designee needs to request a modification of the approved Charter, they may do so by submitting a revised Charter or Charter Renewal Application.

- i. The modification request should be provided by submitting a revised version of the approved Charter or Charter Renewal Application using the submittal system.
- ii. The revisions being requested should be in red text and a cover sheet that summarizes the revisions by section must be included as an attachment.
- iii. When a complete modification request is received with revisions clearly indicated, the University will follow standard review processes through all reviewers and committees, but will attempt to expedite the process.

c. **Suspension or Dissolution:**

- i. In the absence of any action to renew the Charter, the Charter will **expire** on the termination date, and its resources will revert to the next largest administrative unit, i.e, department, college, or division for appropriate disposition.
- ii. **In the event a center's operation should become harmful or obstructive to the mission of the University**, the President or designee, after appropriate consultation with the appropriate Center and University administrators, may suspend or terminate the Charter at any time.
- iii. **Annual Report or Charter Renewal reviews** resulting in a recommendation of Center suspension or dissolution should be made to the President and Center Director concurrently accompanied by a detailed list of reasons provided by the committee chair or other appropriate administrator making the recommendation.
 - 1. For suspensions, a suggested remediation plan and details as to the extent of the operational suspension must be provided.
 - 2. The Center Director may appeal the decision or provide proof of mitigation of concerns by responding with additional documentation or information.
 - a. The written appeal must be submitted within 30 days of receiving the final recommendation for suspension or dissolution, using AdobeSign and routed through the relevant chair(s), dean(s), and AVP ORSP.
 - b. If they are not in concurrence, the Chair, Dean, or AVP ORSP may return the appeal to the Center Director without approval or further review required.
 - c. If the Chair, Dean, and AVP ORSP all support the appeal, then the AVP ORSP will provide the appeal to the CR for review. The Appeal Review will then go through the same review processes as described for Charter and Charter Renewal Applications (i.e., CR, ExCom, Senate, President), with ultimately an approval of Center reinstatement or with suspension or dissolution.
- iv. **Voluntary suspension** may be requested using a memo routed through AdobeSign and carried out by the Center Director in consultation with the relevant College Dean(s) and the Provost/Vice President of Academic Affairs or their designees.
 - a. Voluntary suspension requests must include the reason(s) for the request and a proposed remediation plan, along with details as to the extent of the operational suspension and timeline for Center reactivation.

Centers and Institutes Reporting Timeline



PROCEDURE REVIEW

This procedure will be reviewed 3 years from the last review date.

4. History

Date	Author	Description
08/15/23	Office of Research and Sponsored Programs	Collaborative effort by the Senate C&I Task Force, CR, and other designated staff. Split C&I Policy into Policy and Procedures and updated procedures.

10/9/23	CR	Changes as outlined in 22-23 CR Annual Report: added reporting timeline and feedback template
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